fdms.gov

Rule Writer User Guide

Federal Docket Management System

2016

Developed for:

eRulemaking

eRulemaking Program Management Office
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09/21/16	9.2	Incorporated 4.13 release updates	Grace Reddish	Crystal Vitagliano	09/28/16

Introduction

Welcome to the **Federal Docket Management System (FDMS)**. FDMS is a centralized Docket Management system that provides federal agencies the ability to search, view, download, and review comments on proposed federal rules. In addition, it offers agencies extensive functionality to facilitate their regulatory business activities, including the ability to:

- Run full text searches on Dockets, Documents, and Attachments
- Mark Dockets and Documents to My Favorites and Flagged Documents
- Create and manage Dockets electronically
- Manage and post Documents individually
- Batch Process Documents
- Identify duplicate comments and mass mail campaigns through Comment Deduplication
- Perform advanced text analytics through Auto Categorization
- Customize portions of FDMS to meet the needs of each agency

FDMS is a major component of the eRulemaking Initiative. The eRulemaking Initiative is one of the 25 e-Government initiatives associated with the President's Management Agenda. The U.S. Environmental Protection Agency (EPA) is the managing partner for this initiative.

FDMS **Best Practices** have been implemented to improve how agencies use FDMS while increasing the public's access to regulatory information, as well as encouraging public participation through the Regulations.gov website. Best Practice goals include:

- Increase access to the full lifecycle of federal regulatory content.
- Build a common taxonomy and establish protocols for managing Dockets and regulatory Documents.
- Compile comprehensive electronic Dockets and increase agency efficiency.
- Use one Docket to manage a regulatory action.

Notes

FDMS Self-Register

To use the **Federal Docket Management System (FDMS)**, every user must have a valid username and password. All users have the ability to self-register and electronically submit a request for access to the system.

Figure 1: FDMS Self-Register Link

Submitting a Self-Registration Request

1. Access FDMS by launching your internet browser and entering www.fdms.gov in the address bar.
2. On the FDMS login page click the **click here to register** link.
3. Review the **Terms of Use** and click the **I Agree** button. The **User Self-Registration** form is displayed.
4. Complete all required fields and select the appropriate **Access Level**.
5. Click the **submit** button to be approved by the **Agency Administrator**.

Note: If a user is unsure of what access level to choose, select Agency Viewer. The Agency Administrator can make the necessary adjustment if the role (access) should change.

Note: The registration request is submitted to the Agency Administrator. Once the request is approved you will receive and email confirmation. Please follow the email instructions to complete the process.

Notes

Logging in to FDMS

Access FDMS by launching your internet browser and entering *www.fdms.gov* in the address bar.

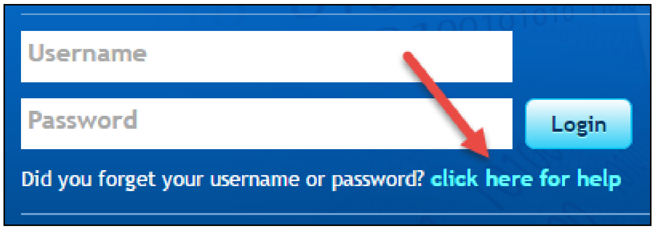


Figure 2: Logging in to FDMS

Logging in to FDMS

1. Access FDMS by launching your internet browser and entering *www.fdms.gov* in the address bar.
2. On the FDMS login page type your username in the **Username** field.
3. Type your password in the **Password** field.
4. Click the **Login** button.
5. Use the **click here for help** link to reset your password or if you have forgotten your username.

   Note: Users must contact their Agency Administrator if they have forgotten their username.

   Note: After five incorrect login attempts users will be locked out of the system for 30 minutes and will be unable to utilize the "forgot password" function.

   *Note: Please refer to the **My Password** section for more information on Password Rule and Requirements.*

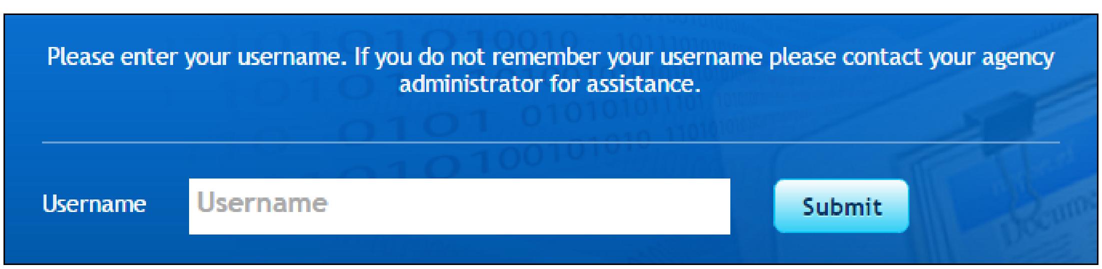


Figure 3: Forgot Password Screen

Notes

Managing User Profile

FDMS users are able to access and manage their user information including answers to the security questions and their password in the **User Profile.** Users can also manage **Notifications** and their **FDMS Contacts**.

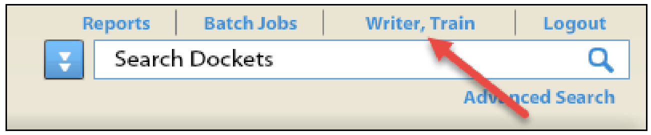


Figure 4: Accessing the User Profile

Accessing the User Profile

1. Click the hyperlinked user's name located in the top tool bar of the Homepage.

My Info

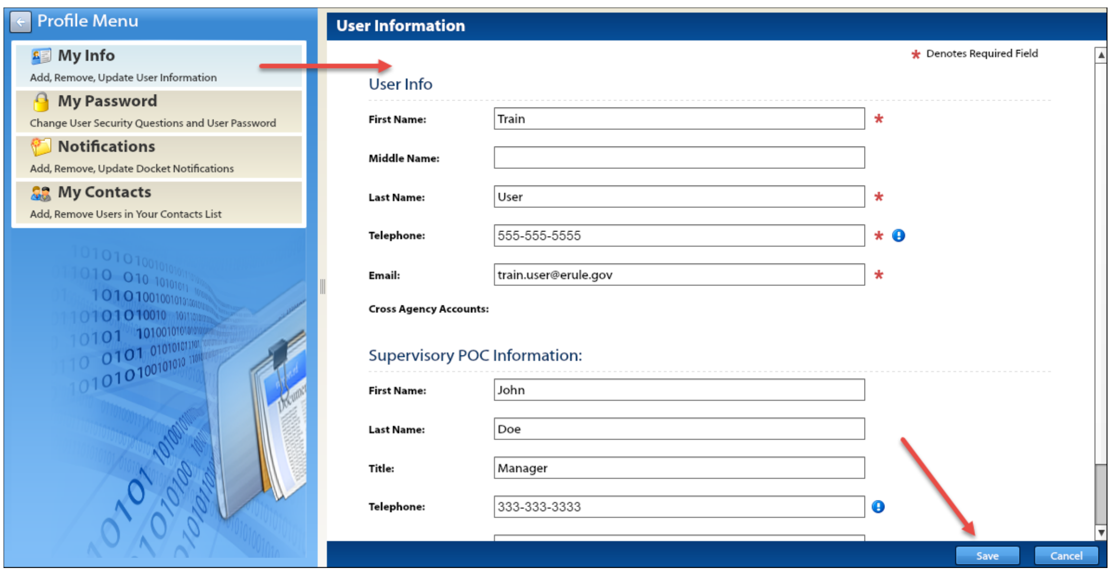


Figure 5: My Info Screen

My Info

1. **My Info** will display by default when accessing the User Profile.
2. Edit (add, remove, update) **User Info** and **Supervisory Point of Contact (POC) Information** on this screen.
3. Click the **Save** button to save any changes.

*Note: The * icon indicates a **required** metadata field. When a cursor is hovered over the icon, a tool tip message appears explaining the requirements of the field.*

Notes

My Password

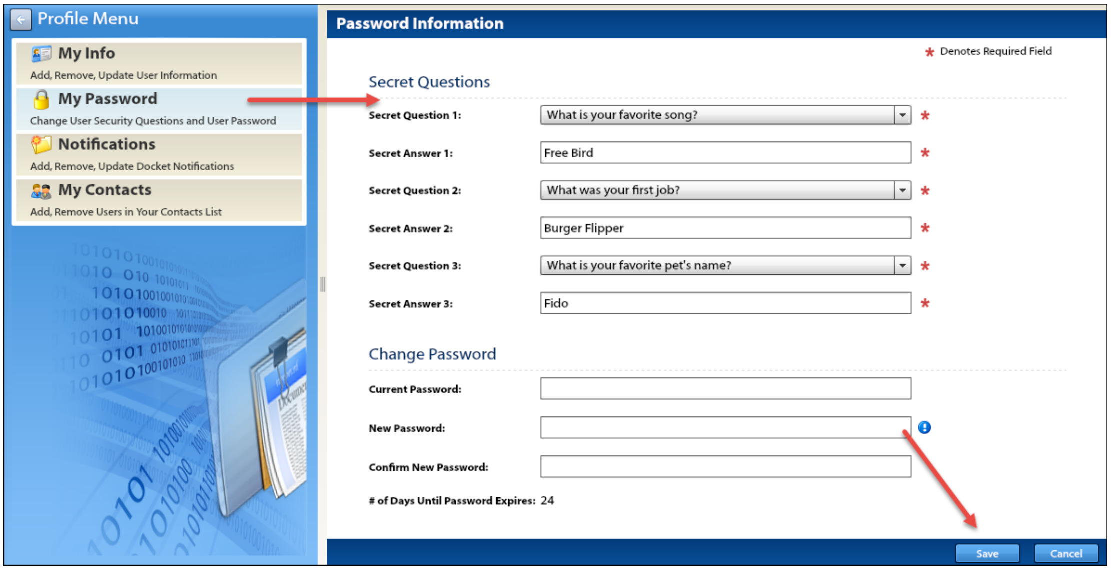


Figure 6: My Password Screen

My Password

1. Click **My Password** from the **Profile Menu** options to display the **Password Information** screen on the right. (As shown above)
2. Update the **Secret Questions** and answers and/or change your **Password**.

   Note: Users will be prompted to enter their Secret Questions and Answers in the My Password section if they are not filled out.

3. Click the **Save** button to save any changes made on this screen.

   *Note: The **Number of Days Until Password Expires** displays at the bottom of the screen.*

Password Rules and Requirements

Password Rules and Requirements

- **Complexity:** Passwords must be between 12-20 characters and must include at least one upper case letter, one lower case letter, one number, and one special character.
- **Inactivity:** User accounts will be locked after 30 days of inactivity. To reset their account, a user must contact their Agency Administrator.
  - Users will receive inactivity reminder emails at 15, 4, 3, 2, and 1 day prior to their account being locked.
- **Minimum and Maximum Lifetime Restrictions:** Passwords must be

Notes

Password Rules and Requirements

changed every 60 days for security purposes. If a user does not reset their password within 60 days, their account will be locked and need to be reset by the Agency Administrator.

- Users cannot change their passwords more than once in a 24-hour period.
- Users will receive reminder emails once daily beginning 10 days prior to the password expiration until the password has been changed.
- Users will also see the “Password Expiring Soon” prompt when they log in to FDMS within the 10-day period.

- **Reuse Restrictions:** Users cannot reuse any of the past 24 passwords.

Notifications

Notifications enable users to request email notifications for specific Docket events. These events include Document Added, Comment Published, and Comment Received. The frequency and the duration of the notification are determined on a docket-by-docket basis.

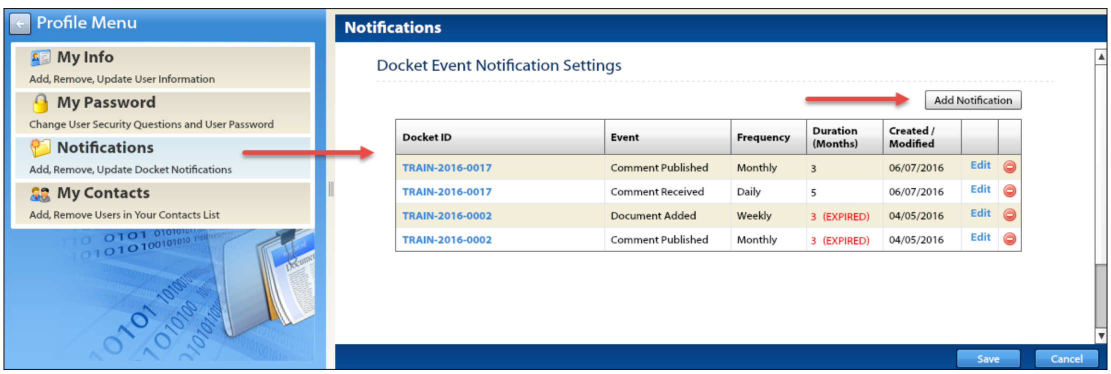


Figure 7: Notifications Screen

Adding a Notification

1. Click **Notifications** from the **Profile Menu** options to display the Notifications screen on the right. (As shown above)
2. To add a Notification, click the **Add Notification** button from the Notifications screen.
3. The **Select a Docket** pop-up window is displayed.

Notes

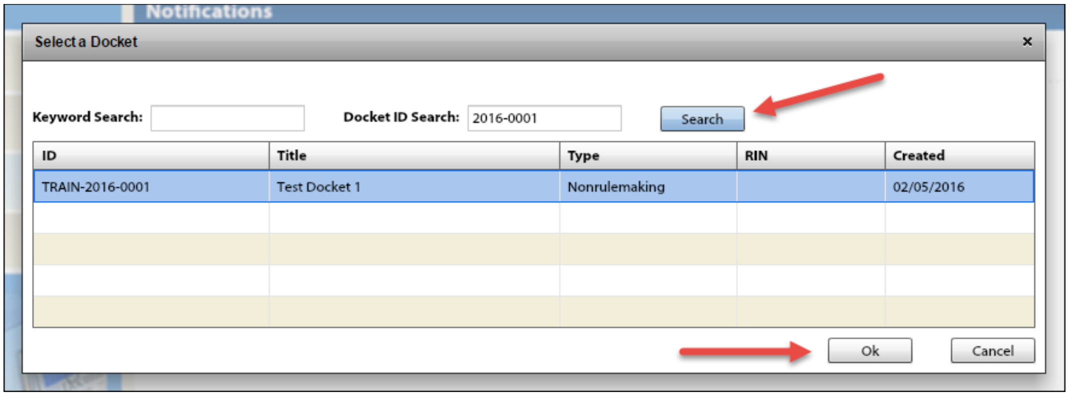


Figure 8: Select a Docket Pop-up Window

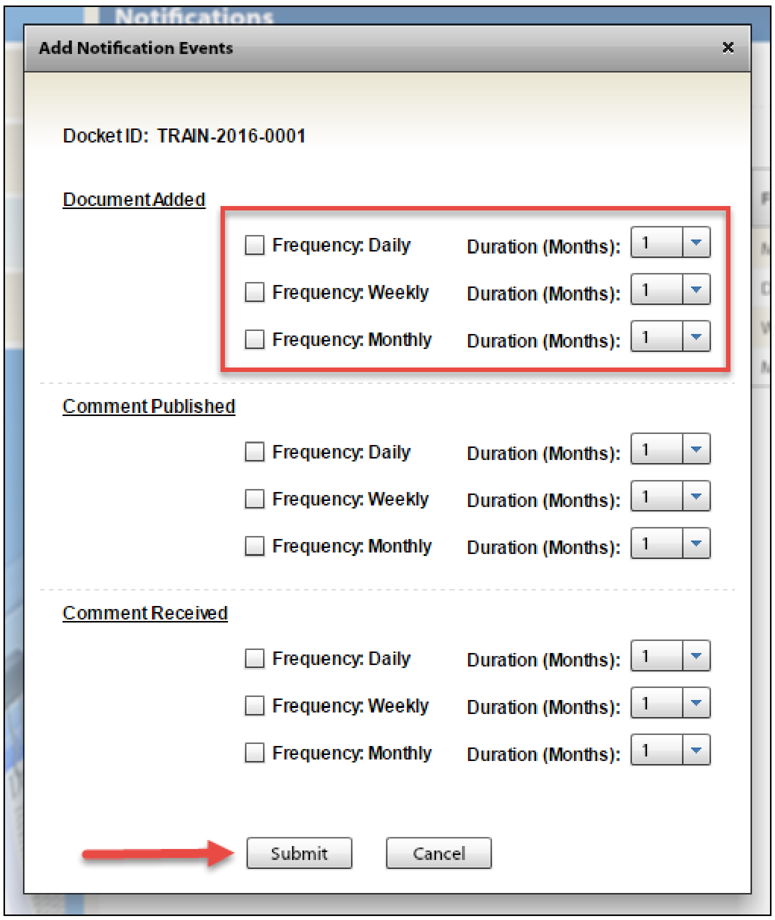
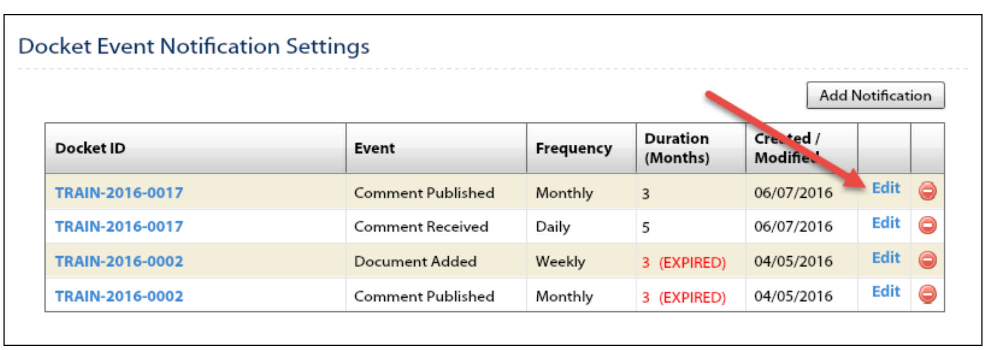


Figure 9: Add Notification Events Pop-up Window



Docket Event Notification Settings

Add Notification

Docket ID	Event	Frequency	Duration (Months)	Created / Modified		
TRAIN-2016-0017	Comment Published	Monthly	3	06/07/2016	Edit	
TRAIN-2016-0017	Comment Received	Daily	5	06/07/2016	Edit	
TRAIN-2016-0002	Document Added	Weekly	3 (EXPIRED)	04/05/2016	Edit	
TRAIN-2016-0002	Comment Published	Monthly	3 (EXPIRED)	04/05/2016	Edit	

Figure 10: Docket Event Notification Settings

Notes

Adding a Notification Continued…

4. To search for the appropriate Docket, enter a **Keyword**, or a full or partial **Docket ID**.
5. From the search results, select the desired Docket and click OK.
6. The **Add Notification Events** pop-up window is displayed.
7. Check the box(es) for the desired event(s), frequency(s) and duration for the Docket and click OK.
8. Click **Edit** to make modifications, click the icon to delete the notification.

   Note: Expired Notifications can be edited and made active again, or deleted.

   Note: Multiple notifications can be applied to the same Docket.

My Contacts

My Contacts enables users to manage a list of FDMS contacts within the User Profile. The contact list enables users to quickly find and select users while managing Docket and Document assignments and permissions.

Figure 11: My Contacts Screen

Adding a Contact

1. Click **My Contacts** from the **Profile Menu** options to display the My Contacts screen on the right. (As shown above)
2. To add a contact, click the **Add Contact** button from the My Contacts screen.
3. The **Select a User** pop-up window is displayed.

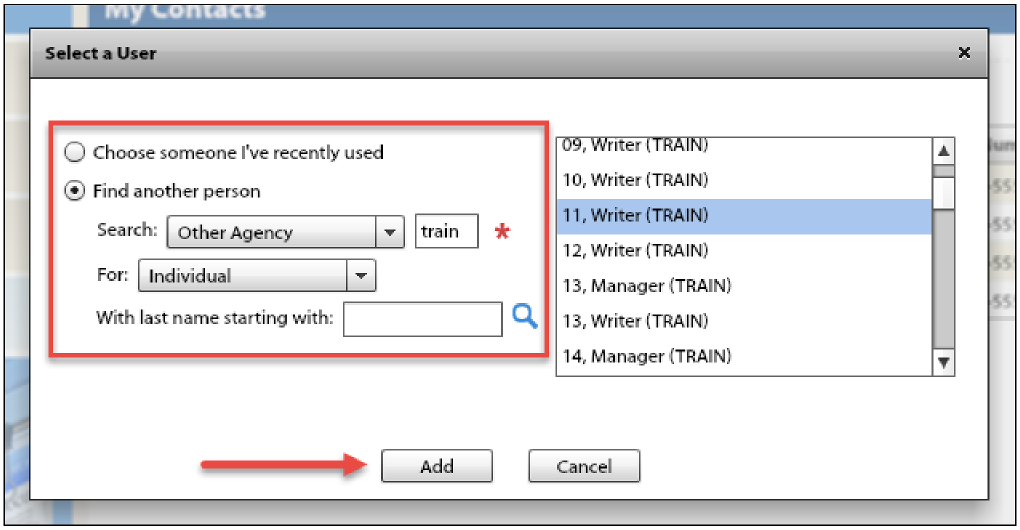


Figure 12: Select a User Pop-up Window

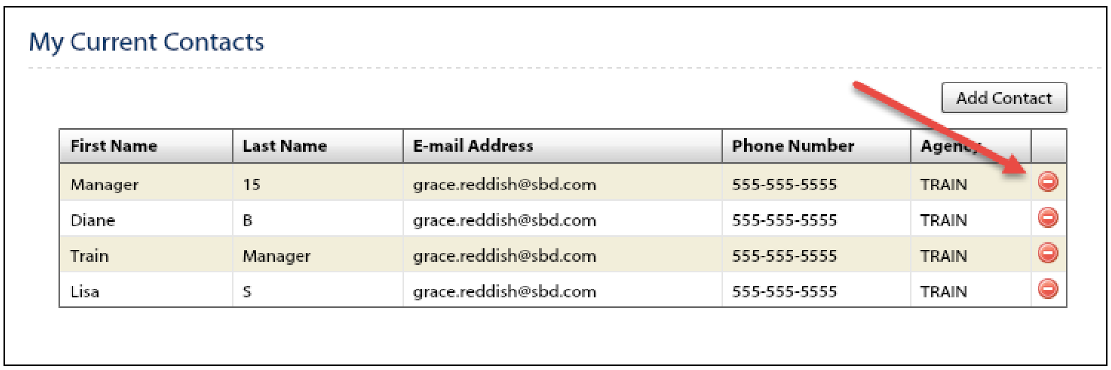


Figure 13: Managing My Contacts

Adding a Contact Continued…

4. Select the applicable option in the **Select a User** pop-up window and choose the user from the box on the right. The options are:
   - **Choose someone I've recently used**
   - **Find another person**: use this option to search for a person from your agency, department, another agency, or as an FDMS global search
5. If using the **Find another person** option, enter the full or partial last name and click the icon.
6. Select the correct user from the search results and click **Add**.
7. Click the **Save** button on the My Contacts screen to complete the adding process.
8. Click the icon to delete a contact.

Homepage

The **Homepage** contains the **Menu** section on the left and three tabs in the content view on the right. Depending on the user's role and access, the menu may display the **Inbox, FR Feed, My Favorites, Recently Viewed,** and **Flagged Documents** options (further details can be found in the **Menu** section). The three tabs in the content view are **Home, FDMS Features,** and **Training Resources**. The **FDMS.gov** logo on the top left of the screen can be used to navigate back to the Homepage from anywhere in the system.

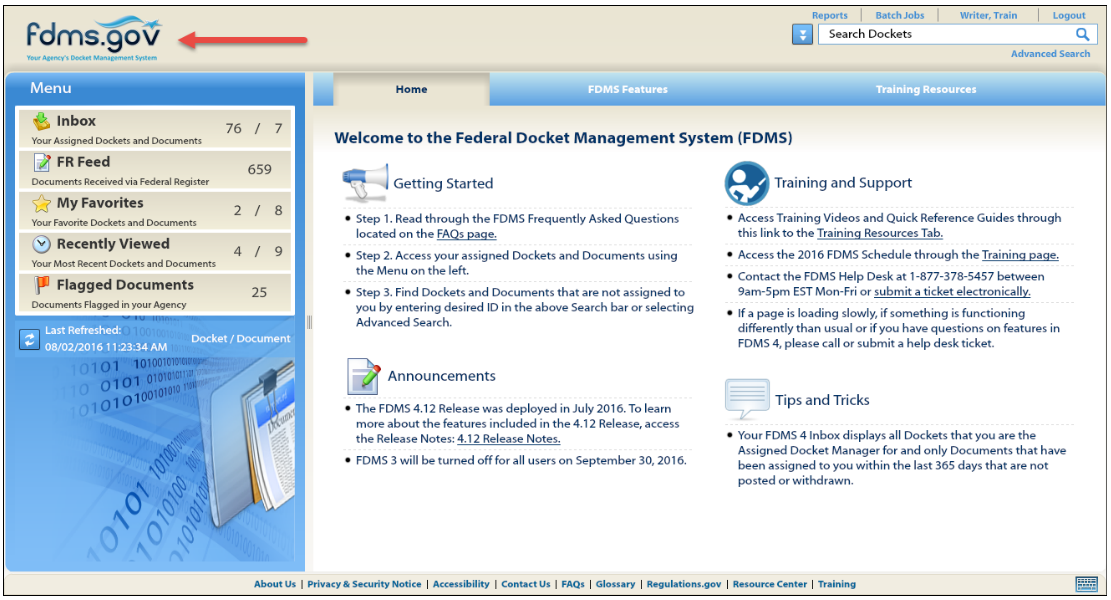


Figure 14: The Homepage Displaying the Menu Options

Home Tab

The **Home** tab contains the **Getting Started, Training and Support, Announcements,** and **Tips and Tricks** sections.

Notes

FDMS Help Desk

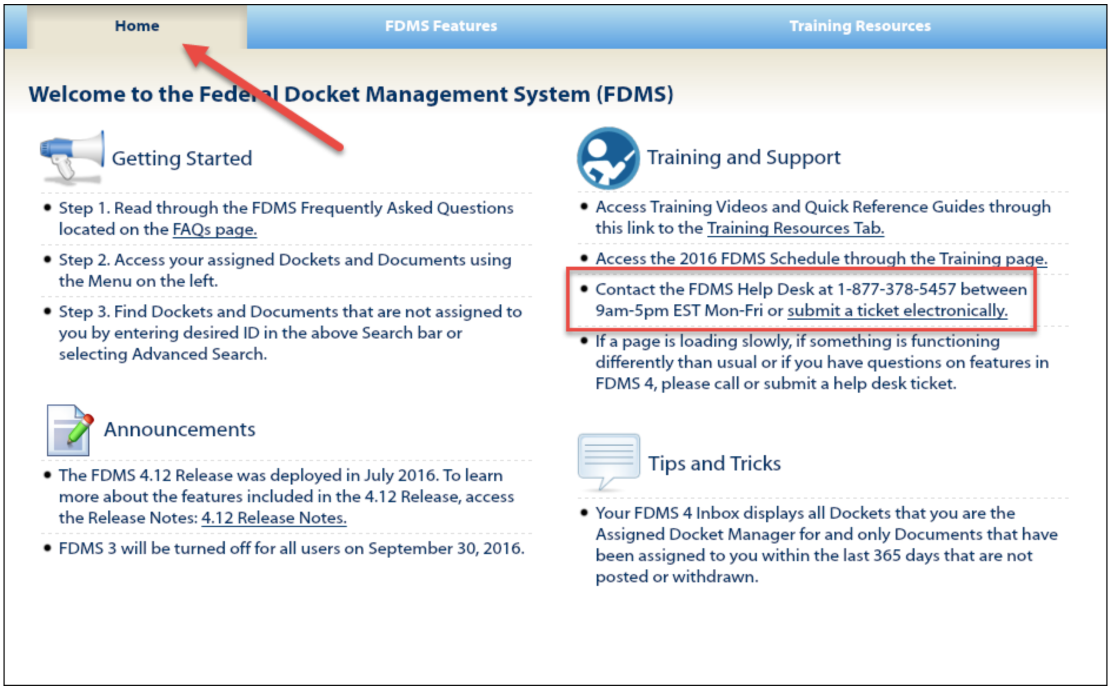


Figure 15: The Home Tab on the Homepage

FDMS Help Desk

1. To contact the **Help Desk** call at **1-877-ERUL HLP (1-877-378-5457)** Monday through Friday, 9:00 AM – 5:00 PM EST.

   – OR –

2. Click the link to **submit a ticket electronically**.

Notes

FDMS Features

The **FDMS Features** tab highlights the features that have been **Recently Added** and those that are **Coming Soon**. It also displays any currently **Known Issues** or bugs as well as the basic **System Requirements** to run FDMS.gov.

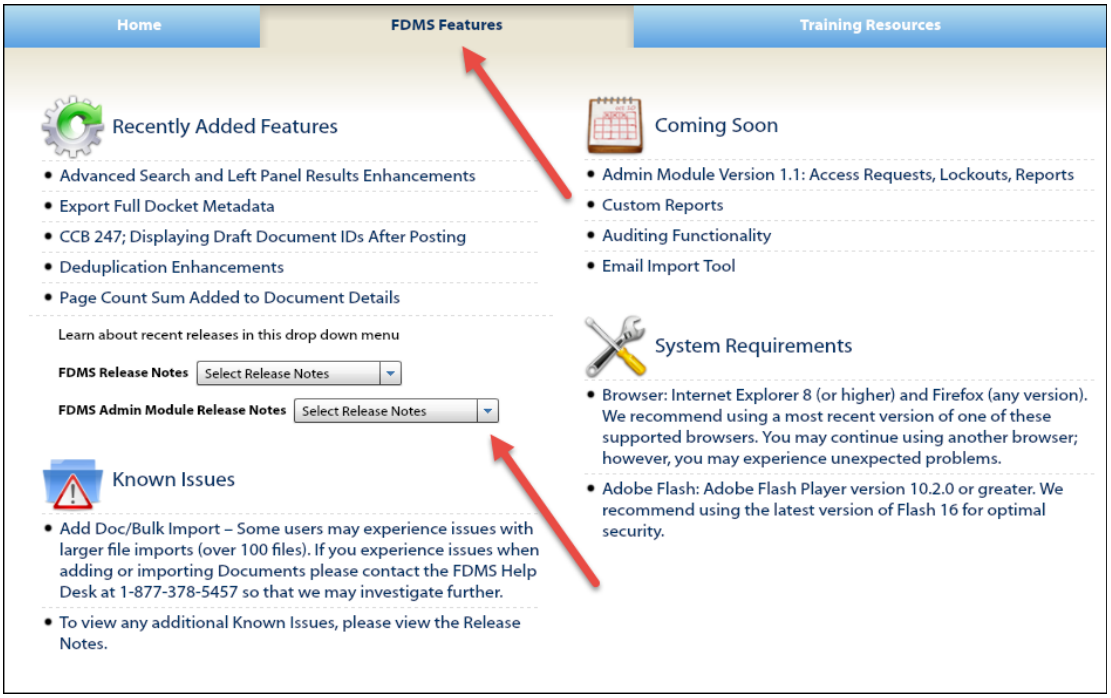


Figure 16: The FDMS Features Tab on the Homepage

FDMS Features

1. Click the **FDMS Features** tab on the Homepage to view additional information about the site.
2. Access current and past FDMS 4 Release Notes from the **Release Notes** dropdown menu.

Notes

Training Resources

The **Training Resources** tab contains all available training materials. Users can access role specific **User Guides** and on demand **Recorded Training Webcasts**. Also available are **Quick Reference Guides (QRG's)** and short **Video Tutorials** on important features of the system.

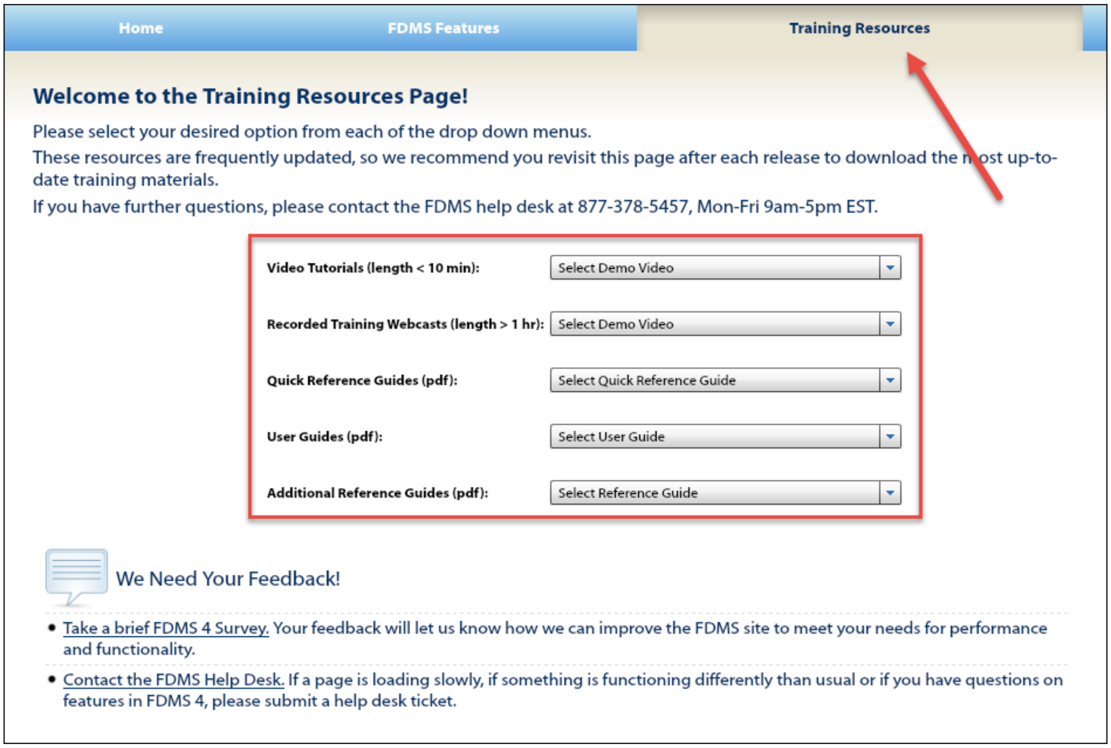


Figure 17: The Training Resource Tab on the Homepage

Training Resources

1. Click the **Training Resources** tab on the Homepage.
2. Utilize the dropdown menus to browse and select from the available materials.

*Note: **Recorded Training Webcasts** open in a new tab.*

Notes

Menu

The menu includes the **Inbox, FR Feed, My Favorites, Recently Viewed,** and **Flagged Documents**. The counts **(e.g. 76/7)** beside each menu option denote the number of available Dockets or Documents as indicated by the hover-over text (not shown here).

Inbox

The **Inbox** allows a user to view a list of all the assigned Dockets (irrespective of when the dockets were created) and the Documents that were created and assigned in the last 365 days.

Figure 18: Menu Options

Inbox

1. Place the cursor over a **number count** to highlight the number. A tooltip message **Click to view dockets** or **documents** appears.
2. Click the applicable number count **(e.g. 76/7)** to access the **Docket** or **Document List**. By default, clicking **Inbox** will display the Docket List.
3. The **Docket** or **Document List** is displayed on the left and the **Docket** or **Document Details** of the first item in the list is displayed in the content view on the right (not shown here).

Notes

Docket List

The **Docket List** is displayed by default when the **Inbox** is accessed from the **Menu**.

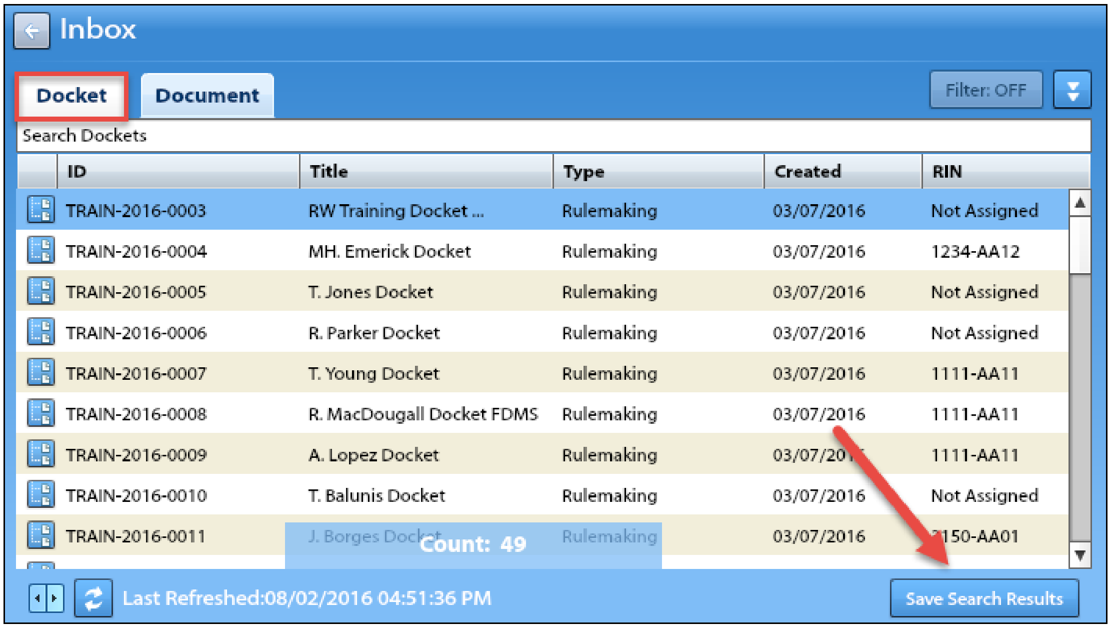


Figure 19: The Docket List

Docket List

1. Click the **Docket count** or **Inbox** to access the **Docket List**.
2. Users can search within the **Docket List** by using a **full or partial ID, Title,** or **Type** in the smart search bar. The list will auto-update as search criteria is entered.
3. The **Docket Filter** provides additional options to narrow the list.
4. Click the icon to access the **Docket Tree** to view accompanying documents.
5. The **Count** reflects the total number of dockets in the list. The count will auto-update when either searching within the docket list or if the **Filter** is set to "**ON**".
6. Click the icon to **Expand** or **Shrink** the column header/s displayed.
7. Click the icon to **Refresh** the page to display the most recent information.
8. Click the **Save Search Results** button to save the contents showing in the Docket List as a CSV file or have a **Full Export** emailed to you (further information on Full Export can be found in the **Save Search Results Export** section).

Notes

Document List

The **Document List** can be accessed by clicking the **Document count** (from the **Menu**) or the **Document tab** when a user is in the **Inbox**.

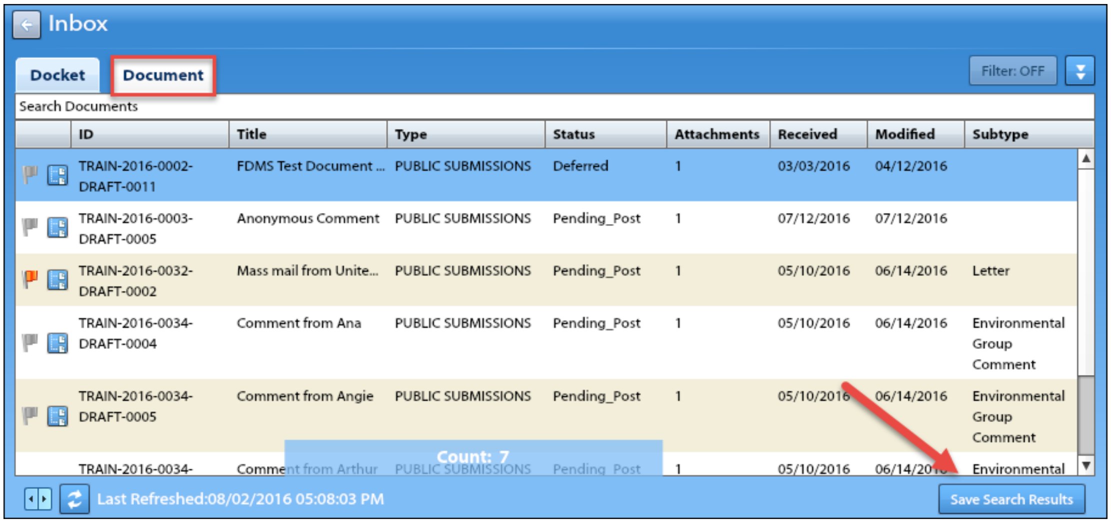


Figure 20: The Document List

Document List

1. Click the **Document count** or the **Document tab** to access the **Document List**.
2. Users can search within the **Document List** by using a **full or partial ID, Title, Type,** or **Status** in the smart search bar. The list will auto-update as search criteria is entered.
3. The **Document Filter** provides additional options to narrow the list.
4. Click the icon to access the **Docket Tree** to view associated documents.
5. The **Count** reflects the total number of documents in the list. The count will auto-update when either searching within the document list or if the **Filter** is set to "**ON**".
6. Click the icon to **Expand** or **Shrink** the column header/s displayed.
7. Click the icon to **Refresh** the page to display the most current information.
8. Click the icon to **Flag** a document to indicate a follow-up or additional review is needed. A flagged document can be **Unflagged** by clicking on the icon. See the **Flagged Documents** section for more information.
9. Click the **Save Search Results** button to save the contents showing in the Document List as a CSV file or have a **Full Export** emailed to you (further

Document List

information on Full Export can be found in the **Save Search Results Export** section).

FR Feed

The **FR Feed** is available for users who have been added to the agency **FR User Group**. The FR Feed receives Documents published from the **Office of the Federal Register** and is used to temporarily store the FR Documents until they are moved to a permanent Docket.

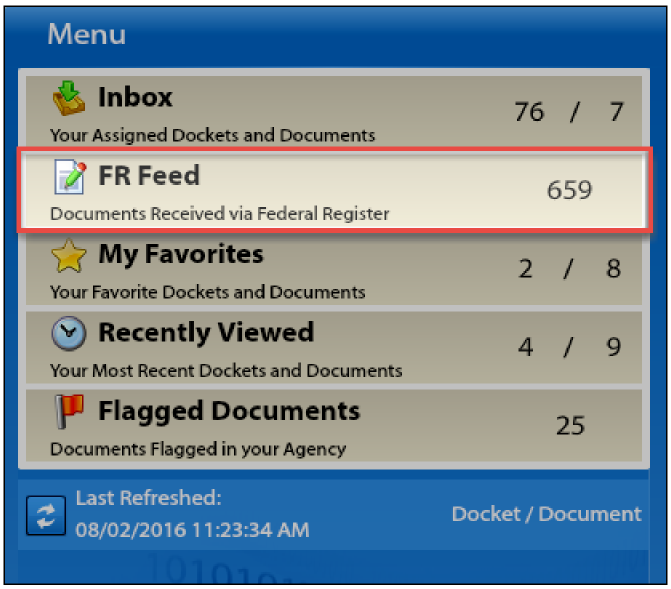


Figure 21: The FR Feed

FR Feed

1. Click the **number count** to view documents in the FR Feed.
2. The **FR Document List** is displayed on the left and the FR Document Details are displayed in the content view on the right.

*Note: See the **Moving the FR Document to the Docket** section in the Docket Manager guide for more details.*

Note: Agency Administrators add users to the FR User Group.

Notes

My Favorites

My Favorites gives the user the ability to mark Dockets and/or Documents as favorites and store them in an area to be easily located. Dockets and Documents can be removed from **My Favorites** at any time.

Figure 22: My Favorites

My Favorites

1. Click the applicable **number count** to view Dockets or Documents saved as **Favorites**.
2. The **Docket** or **Document List** is displayed on the left and the **Docket** or **Document Details** are displayed in the content view on the right.

   Note: See the ***Managing a Docket*** *and* ***Managing a Document*** *sections for instructions on adding or removing items from* ***My Favorites****.*

   Note: Refer to the ***Batch Processing*** *section to see how multiple Dockets and Documents can be added to or removed from* ***My Favorites****.*

Recently Viewed

Recently Viewed displays the 100 most recently viewed Dockets and Documents and benefits both frequent and infrequent FDMS users in locating their Dockets and Documents. The 100 most recently accessed Dockets and Documents will always be stored under Recently Viewed.

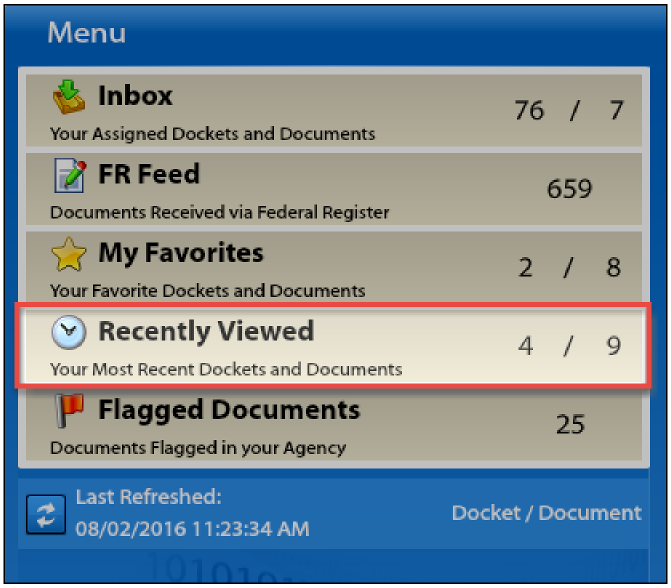


Figure 23: Recently Viewed

Recently Viewed

1. Click the applicable **number count** to view Dockets or Documents stored under **Recently Viewed**.
2. The **Docket** or **Document List** is displayed on the left and the **Docket** or **Document Details** are displayed in the content view on the right.

Note: Dockets and Documents are automatically added to Recently Viewed upon being accessed.

Notes

Flagged Documents

Flagged Documents displays the documents marked for follow-up, or to indicate whether additional review is needed. As long as a user has **permission** to the flagged Document, it is viewable to that user in **Flagged Documents**.

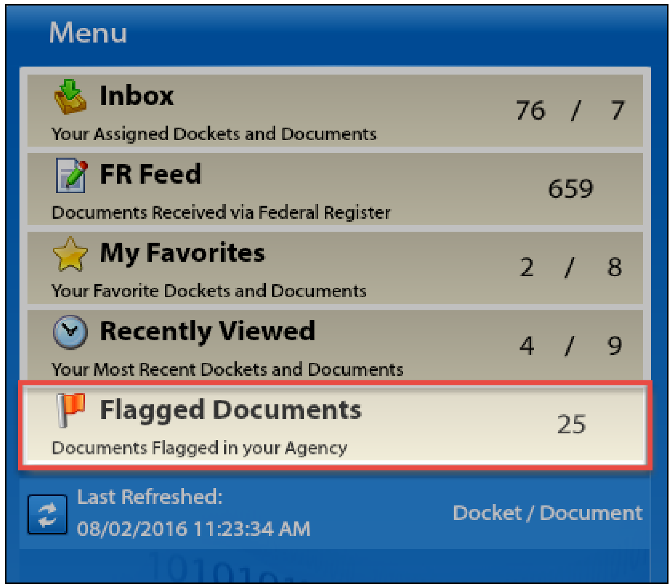


Figure 24: Flagged Documents

Flagged Documents

1. Click the **number count** to view all Documents in **Flagged Documents**.
2. The **Document List** is displayed on the left and the **Document Details** of the first Document in the list is displayed in the content view on the right.

Note: All agency users can flag or unflag documents.

*Note: Refer to the **Batch Processing** section to see how multiple Dockets and Documents can be added to or removed from **Flagged Documents**.*

Managing a Docket

Users are able to access a Docket from several locations including the Homepage **Menu** options, **Docket Tree**, and **Search Results**. The user may have **Write** or **Read-Only** access to a docket depending on its permissions and/or assignments.

Docket Details

Once a Docket is selected, the **Docket Details** tab displays on the right in the content view.

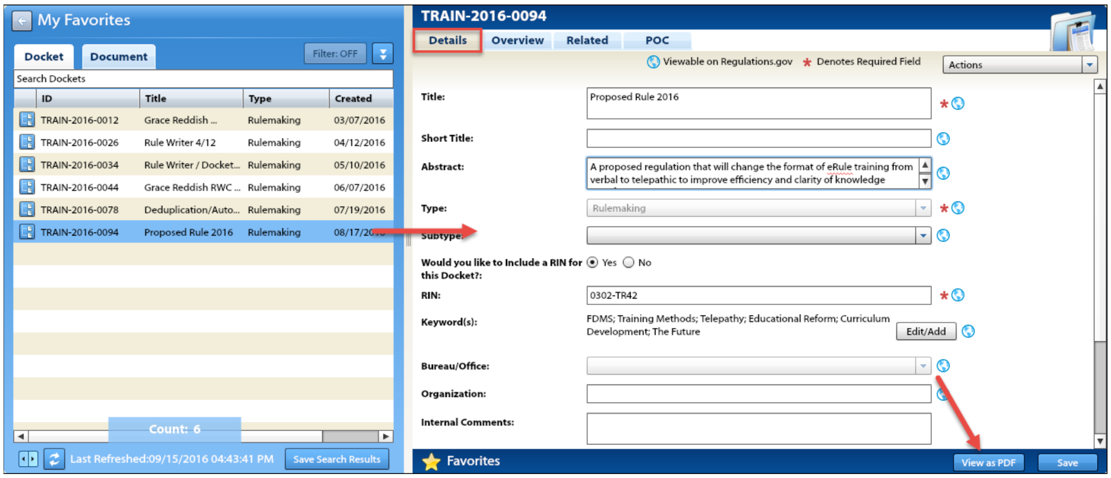


Figure 25: Managing a Docket from the Details Screen

Docket Details

1. Select the desired Docket from the **Menu** options or the **Search Results**.
2. The **split screen** view is displayed with the **Docket Details** tab in the content view on the right.
3. Enter in all applicable information.
   - The icon indicates the field is **publicly viewable** on **Regulations.gov**.
   - The * icon indicates a **required** metadata field.
4. Click the icon to add the Docket to **My Favorites** and click the icon to remove the Docket from My Favorites.
5. Click the View as PDF button to generate a printer friendly format of the details screen.
6. Click the **Save** button to save the changes.

*Note: If the **RIN** is not available at the time of Docket creation it can be updated in the Docket Details tab.*

Notes

Docket Details Actions Menu

The **Actions Menu** dropdown provides multiple options to manage **phase-sequences** within a Docket.

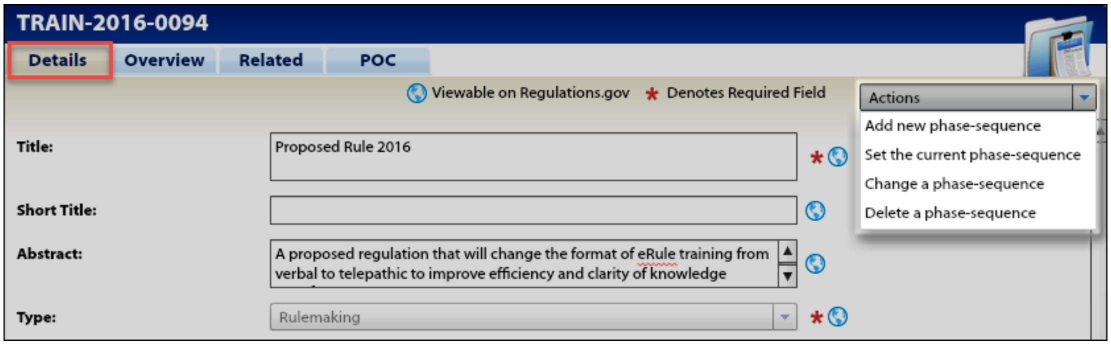


Figure 26: The Actions Dropdown on the Docket Details Screen

Add New Phase-Sequence

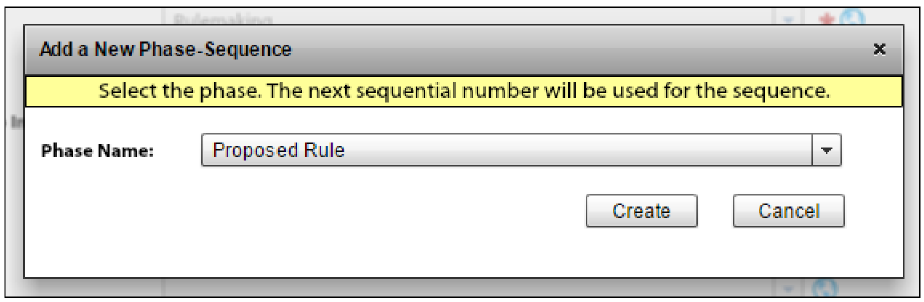


Figure 27: Adding a New Phase-Sequence

Add New Phase-Sequence

1. Select **Add new phase-sequence** from the **Actions** dropdown menu.
2. Select the applicable **Phase Name** from the dropdown menu in the pop-up window.
3. Click the **Create** button to save the new phase.

Note: The new phase will be set as the current phase in the Docket Tree.

Set Current Phase-Sequence

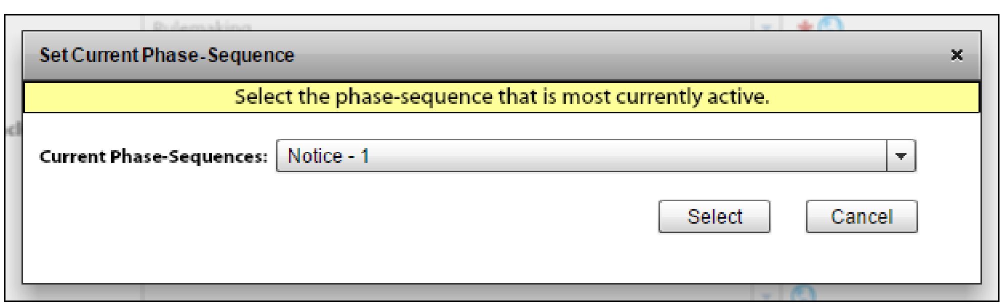


Figure 28: Set Current Phase-Sequence

Set Current Phase-Sequence

1. Select **Set Current phase-sequence** from the **Actions** dropdown menu.
2. Select the applicable **Phase Name** from the dropdown menu in the pop-up window.
3. Click the **Select** button to set the phase.

Note: The current phase is displayed by default in the Docket Tree.

Change a Phase-Sequence

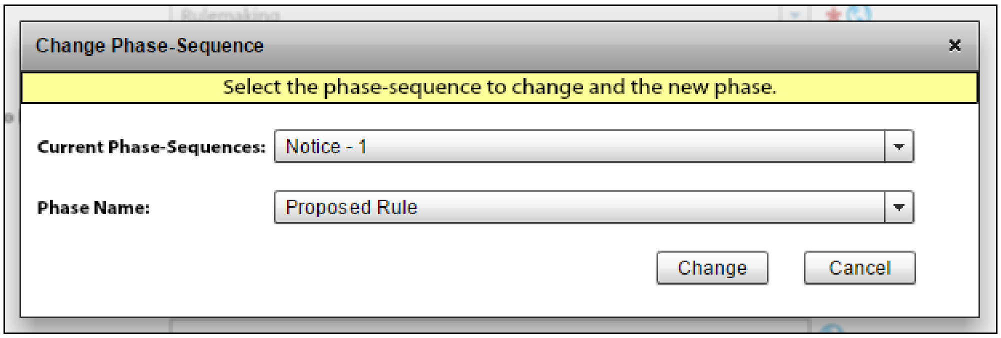


Figure 29: Change a Phase-Sequence

Change a Phase-Sequence

1. Select **Change a phase-sequence** from the **Actions** dropdown menu.
2. Select the **Phase Name** to be changed from the **Current Phase-Sequence** dropdown menu in the pop-up window.
3. Select the new phase name from the **Phase Name** dropdown menu.
4. Click **Change** to save the new phase.

Note: The new phase will be set as the current phase in the Docket Tree.

Delete a Phase-Sequence

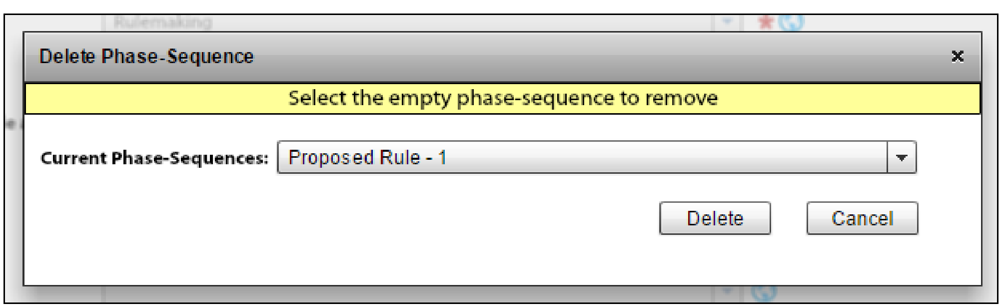


Figure 30: Delete a Phase-Sequence

Notes

Delete a Phase-Sequence

1. Select **Delete a phase-sequence** from the **Actions** dropdown menu.
2. Select the applicable **Phase Name** from the dropdown menu in the pop-up window.
3. Click the **Delete** button to remove the phase.

Note: The phase will be removed from the Docket Tree.

Note: Only phases that are empty (i.e. do not contain any Documents) can be deleted.

Docket Overview

The **Docket Overview** tab gives users a snapshot of docket contents by Phase-Sequence and Document Type. Document counts are organized in three columns:

- **Received:** Documents in active statuses such as **Pending Post** or any agency specific status.
- **Posted:** Documents **Posted** to Regulations.gov
- **Inactive:** Documents in **Withdrawn, Do Not Post,** or **Deferred** status.

Users may click one of the hyperlinked numbers in any column to pull up a search result list with the corresponding documents.

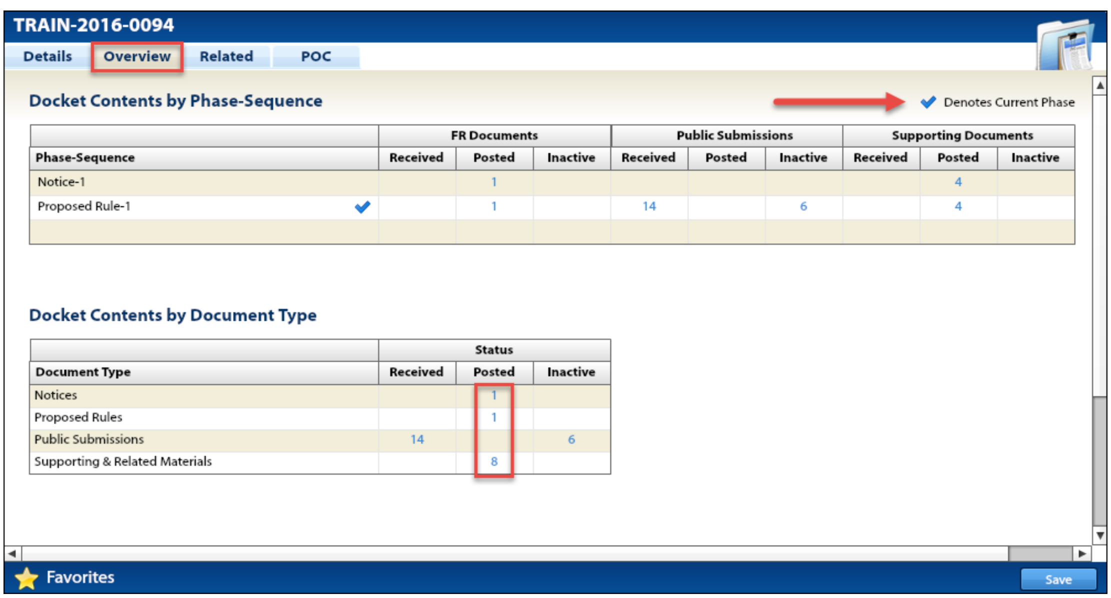


Figure 31: Docket Overview Tab

Notes

Related Dockets

The **Related Dockets** tab allows users to add and maintain a list of the docket/s related to the current docket that is publicly viewable on Regulations.gov.

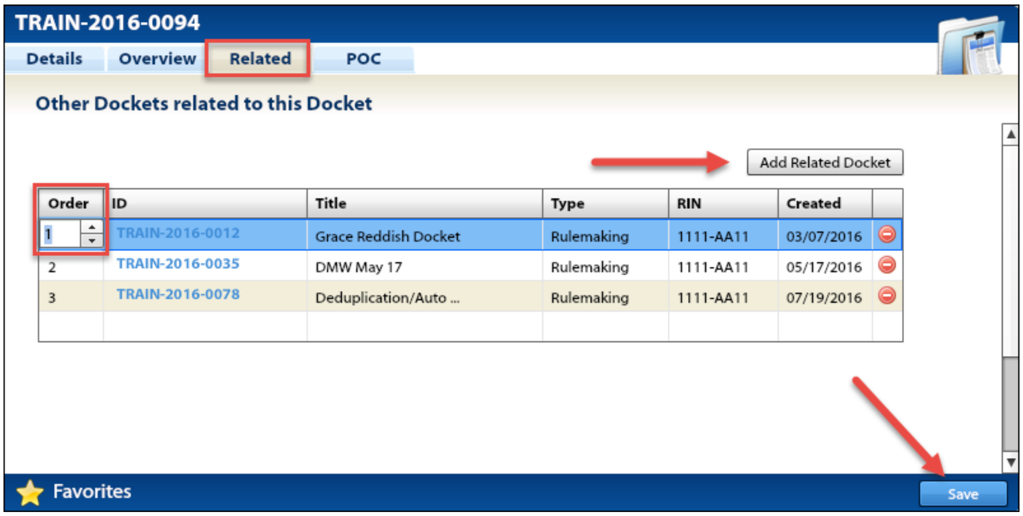


Figure 32: Related Dockets Tab

Related Dockets

1. Click the **Add Related Docket** button to add a related docket to the current docket.
2. From the **Select a Docket** window (as shown above), search for the related docket by **Keyword** or with a full or partial **Docket ID**, and click **Search**. Utilize the **Agency ID** dropdown if searching for a Docket in another agency.
3. Select the desired Docket from the results and click the **OK** button.
4. Once the docket is added, click the **Save** button in the **Related Dockets** tab to save the changes.
5. Double click on the order column to select/enter the desired order number if there are multiple related dockets.
6. Click the related docket **ID** to navigate to the related docket.

   Note: Both dockets will appear as related dockets in their respective Related Dockets tab.

   Note: If the related docket belongs to another agency, a user will be able to view only the posted documents in read only capacity unless write permissions are granted by that other agency.

7. Click the icon to delete an existing related docket.

Notes

Point of Contact (POC)

The **POC** tab allows FDMS users to view and/or manage the Docket Point of Contact (POC) information. A Docket can have more than one POC. Docket Managers and Agency Administrators are able to add/edit Docket POC's while Rule Writers, Docket Staff, and Agency Viewers are only able to view the information.

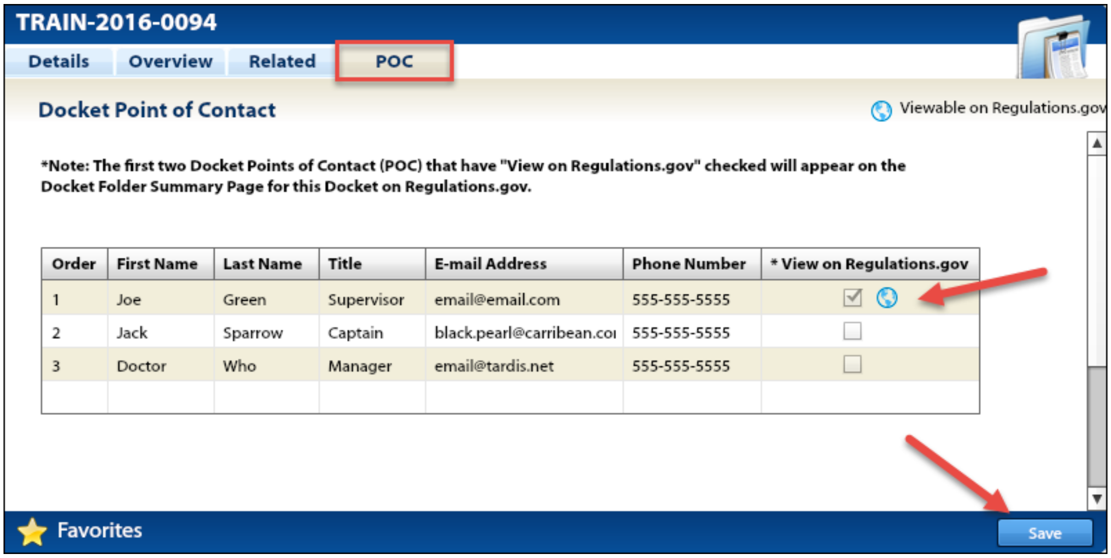


Figure 33: Docket POC Tab

Point of Contact (POC)

1. Select the **POC** tab to access the Point of Contact information.
2. View the POC information such as the **First Name, Last Name, Title, Email Address** and **Phone Number**.

   *Note: As indicated by the icon, the first two POC's that have **View on Regulations.gov** checked will appear in the Docket Folder Summary Page for this docket on Regulations.gov.*

   Note: Edits to a POC will be updated for all dockets currently using that individual's contact information.

Adding a Document

All roles (excluding Agency Viewers) are able to quickly and easily create documents in FDMS. Documents are added from within the **Docket Tree** by using the **Add Doc/Bulk Import** button. Users are able to create **a single primary document** with or without attachments or **Bulk Import** multiple primary documents.

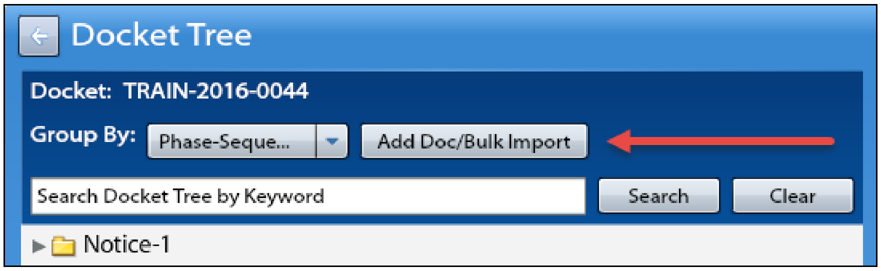


Figure 34: The Add Doc/Bulk Import Button in the Docket Tree

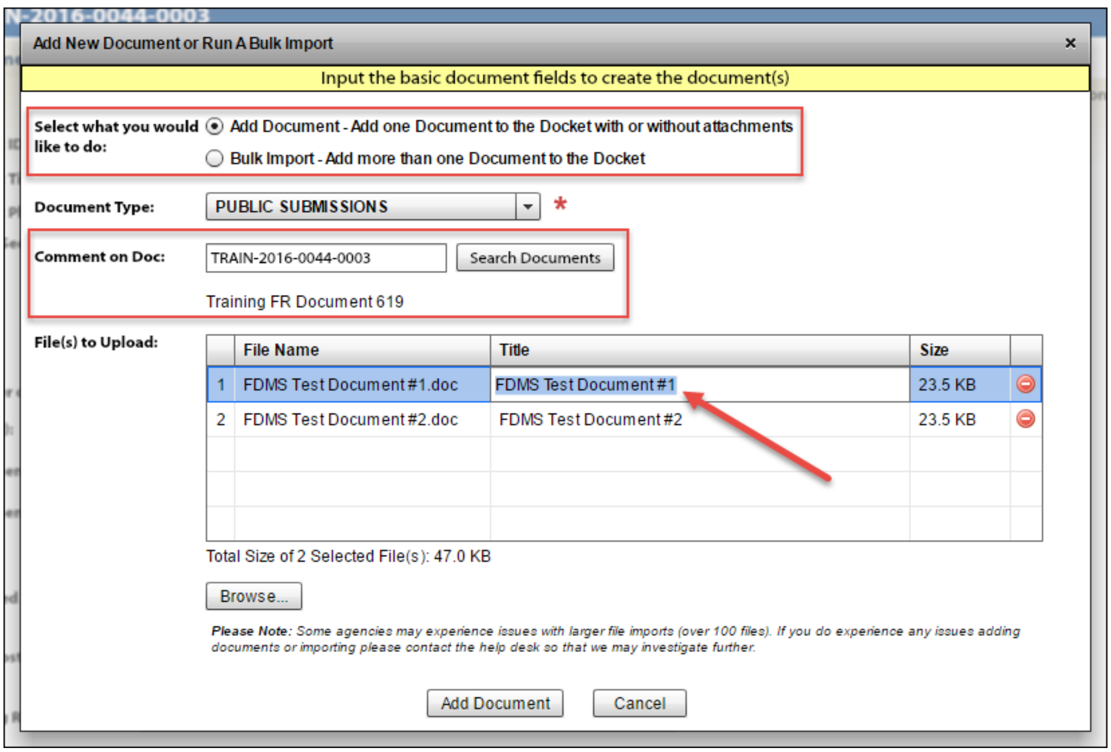


Figure 35: Add New Document Window

Adding a Public Submission Document

1. From the **Docket Tree**, click the **Add Doc/Bulk Import** button.
2. The **Add New Document** or **Run a Bulk Import** pop-up window displays.
3. On the **Select what you would like to do** section, click the radio button next to the **Add Document** option to create a document with or without attachment(s).

Notes

Adding a Public Submission Document

4. Select the **Document Type - Public Submissions** from the dropdown. The **Comment on Doc** (FR) field is displayed.
5. Click the **Search Documents** button and the **Set Comment-on FR Document ID** pop-up window displays (shown below).
6. Enter a **Full or Partial ID** to search for the **FR Document** or select the applicable **FR Document** from the list and then click Ok.
7. The **Add New Document** or **Run a Bulk Import** pop-up window displays with the selected **FR Document** information.
8. To add attachments to the public submission, click the **Browse** button to search and locate the applicable file(s).

   Note: Any files uploaded while adding a public submission document become attachments to the system generated HTML file which contains some metadata fields and the comment box.

9. Double click the **Title** of the Attachment in the **File(s) to Upload** section to edit the title before uploading.
10. Click the **Add Document** button to add the document and its attachment(s).
11. The **Docket Tree** displays on the left and the **Document Details** screen displays in the content view on the right allowing the user to add/edit additional agency specific metadata (not shown here).

   Note: Public submission documents cannot be added if a posted FR Document has not been moved to a docket.

   Note: The system automatically locates any FR Documents within the phase-sequence of the docket.

   *Note: To attach additional files to an existing primary document, see the section on **Attachments**.*

Notes

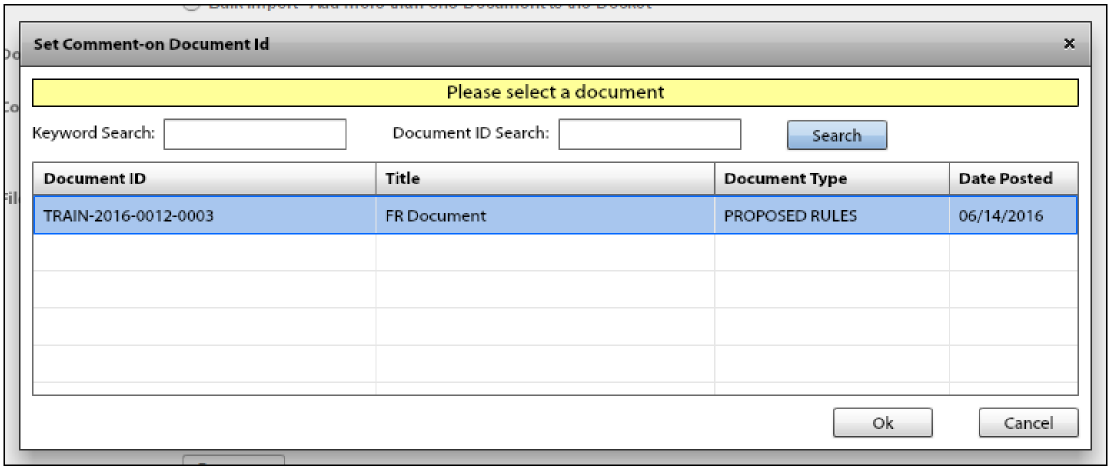


Figure 36: Searching for the FR Document Being Commented On

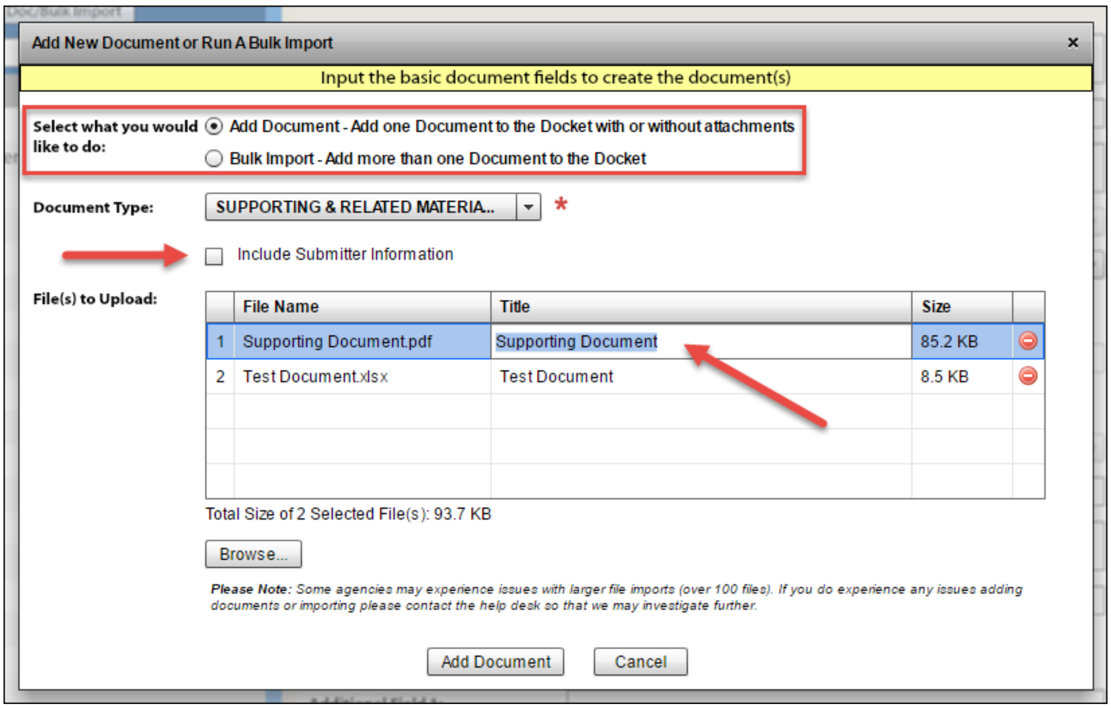


Figure 37: Adding a Supporting and Related Materials Document

Adding Supporting and Related Materials

Note: Including Submitter Information is optional for Supporting and Related Materials and OTHER document types. This option is only available if enabled by the Agency Administrator in agency configurations.

Note: When adding a Supporting or Other Document, the first file uploaded will be the primary document and the rest are attachments to the primary document when Submitter Information is disabled.

Notes

Bulk Importing Documents

The **Bulk Import** feature allows users to import multiple primary documents simultaneously into FDMS. The **Bulk Import** can be executed from within the **Docket Tree**.

Bulk Importing Documents

1. From the top of the **Docket Tree**, next to the **Group By** dropdown options, click the **Add Doc/Bulk Import** button as shown in the **Adding a Document** section.
2. The **Add New Document or Run A Bulk Import** window displays.

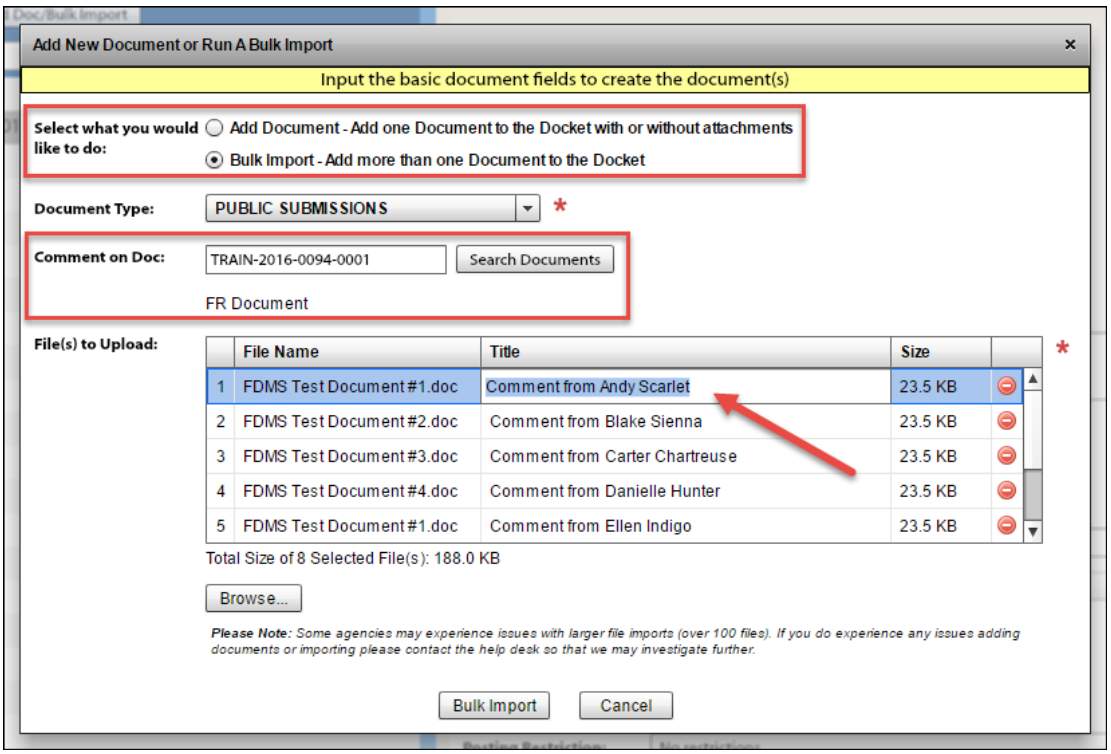


Figure 38: Running a Bulk Import

Bulk Importing Documents Continued...

3. On the **Select what you would like to do** section, click the radio button next to the **Bulk Import** option to add more than one document to the docket simultaneously.

   Note: The **File(s) to Upload** *section becomes a required field prompting users to upload files to be bulk imported.*

4. Select the **Document Type** from the dropdown. The **Comment on Doc** field is displayed when the document type **Public Submissions** is

fdms.gov

Bulk Importing Documents Continued…

selected.

Step 5 – 7 applicable when bulk importing public submission documents.

5. Click the **Search Documents** button and the **Set Comment-on FR Document ID** pop-up window displays.
6. Enter a **Full or Partial ID** to search for the **FR Document** or select the applicable FR Document from the list and then click **Ok**.
7. The **Add New Document or Run a Bulk Import** pop-up window displays with the selected **FR Document** information.
8. Click the **Browse** button to locate and upload the applicable files from the computer, shared drive or other external memory devices. Once the files are located, select the files to be uploaded and click the **OK** button.
9. Double click the **Title** of the document in the **File(s) to Upload** section to edit the title before uploading.
10. To remove a file, click the icon prior to the bulk import.
11. Click the **Bulk Import** button to complete the bulk import process.

Note: A progress bar displays the status of the bulk import.

12. The **Docket Tree** displays on the left and the **Document Details** screen of the first bulk imported document displays on the right allowing user to add/edit additional agency specific metadata information.

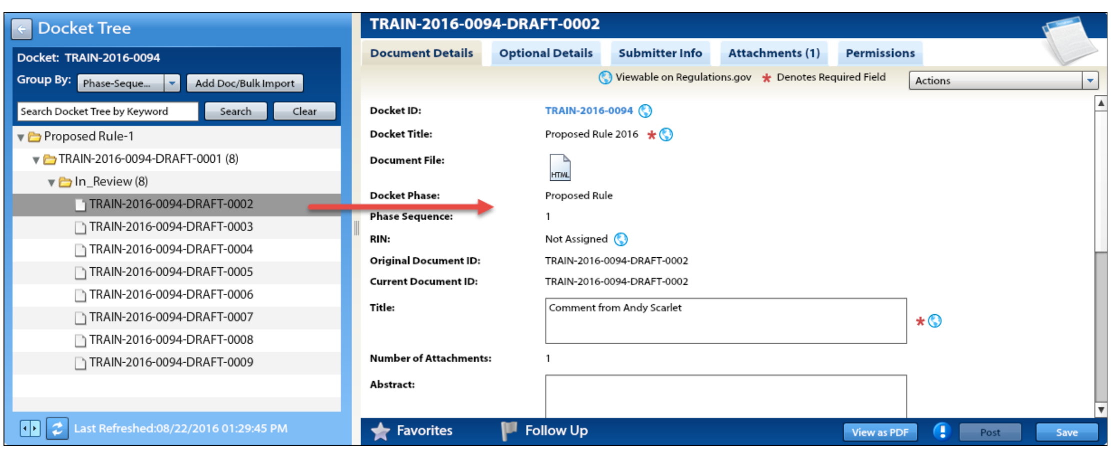


Figure 39: Docket Tree Displaying the First Bulk Imported Document

Notes

Managing a Document

Once a document is added, users can manage, edit, add attachments, and update the document information.

Document Details

The **Docket Tree** is on the left and the Document Management tabs are displayed in the content view.

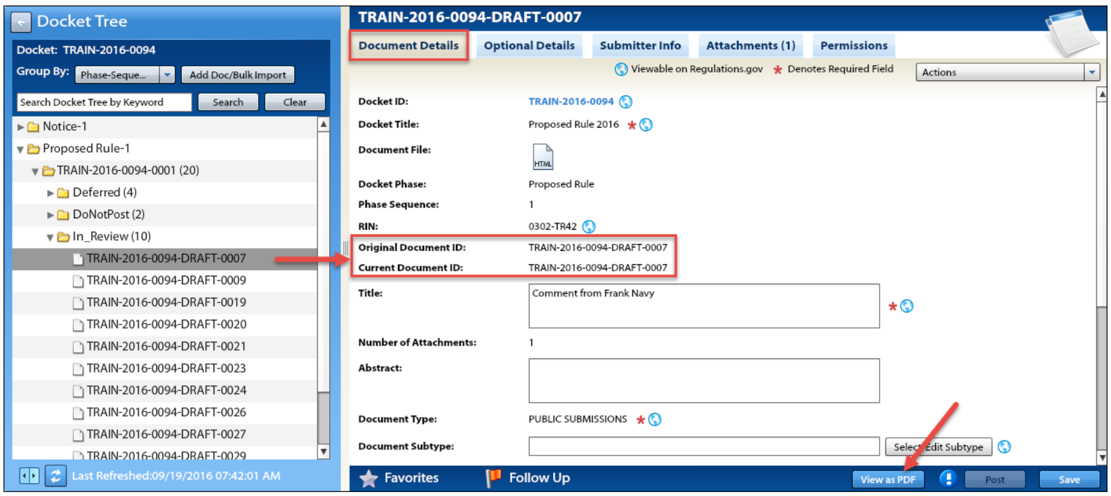


Figure 40: Docket Tree and Document Details

Document Details

1. Select a Document from the **Document List** located on one of the **Menu** options or the **Search Results**. If accessing the document from the **Docket Tree**, click the **Docket ID**.
2. The **split screen** view is displayed with the **Document Details** tab in the content view on the right.
3. Enter/update all applicable information.
   - The icon indicates the field is **publicly viewable** on **Regulations.gov**.
   - The icon indicates a **required** metadata field.
4. Click the icon to add the Document to **My Favorites** and click the icon to remove the Document from My Favorites.
5. Click the icon to **Flag** a document to indicate a follow-up or additional review is needed. A flagged document can be **Unflagged** by clicking on the icon. See the **Flagged Documents** section for more information.
6. Click the **Save** button to save the changes.

Document Details

7. Click the View as PDF button to generate a printer friendly format of the details screen.
8. Hover over the icon to view additional information.

Note: Once a document is posted by a Docket Manager or an Agency Admin, it gets a permanent Document ID. The original draft ID will also be displayed in the Document Details screen.

Default Document Statuses

Document Status is an internal indicator of the current position in the life cycle of a document. There are five default statuses in the system but FDMS Agency Admins are able to create custom statuses for their agencies to manage their workflow.

Default Document Statuses

- **Pending Post:** Pending Post status tells the system that a document is ready to be posted (provided all required metadata have been filled out). A document must be in Pending Post status before it can be posted.
- **Posted:** A document in Posted status is a live document viewable by the public on Regulations.gov and is a part of the public record.
- **Withdrawn:** If for any reasons, a posted document needs to be withdrawn, the system allows users with adequate rights to withdraw the document by providing a reason/explanation for withdrawal. The reason for withdrawal is viewable to the public.
- **Do Not Post:** This status is used to let other users know that a document should not be posted.
- **Deferred:** Deferred status is used as a temporary status for a document when not sure what to do with the document.

Notes

Document Details Actions Menu

Document Details Actions Menu

1. The **Actions Menu** contains additional actions to manage documents. Based on the **Document Type**, from the **Actions** dropdown users can:
   - *All documents*: **Copy, Move, Change document type, Withdraw** a posted document or **Re-post** a withdrawn document, **Re-assign** and **Delete** an unposted document.
   - *Unposted Supporting or Other documents*: **Add file** (if a primary file has not been uploaded), **Replace file** (if a primary file has been uploaded), **Add rendition** to a primary file.
   - *Supporting and Related and Other documents*: **Enable/Disable Submitter Info** depending on the agency configurations.
   - *FR documents*: **Run Deduplication** (if a Deduplication has not been run on the document yet), **Re-Run Deduplication, Re-Run Deduplication from scratch** and **View Duplication Results** (if a deduplication has been already run), **Run Auto Categorization** (if Auto Categorization has not been run on the document yet), **Re-Run Auto Categorization**, and **View Auto Categorization Results** .

*Note: Only an **Assigned Docket Manager** or an **Agency Administrator** is able to **Run** or **Re-run** Deduplication or Auto Categorization. Other user roles with permission to access the FR document can only **view** the results.*

*Note: **Document Details** and **Optional Details** tabs present users with the same options on the **Actions dropdown**.*

Copy

The **Copy** action enables users to copy the **Primary Document** with or without **attachments** to other **dockets** or **Phase-Sequences** within the same Docket.

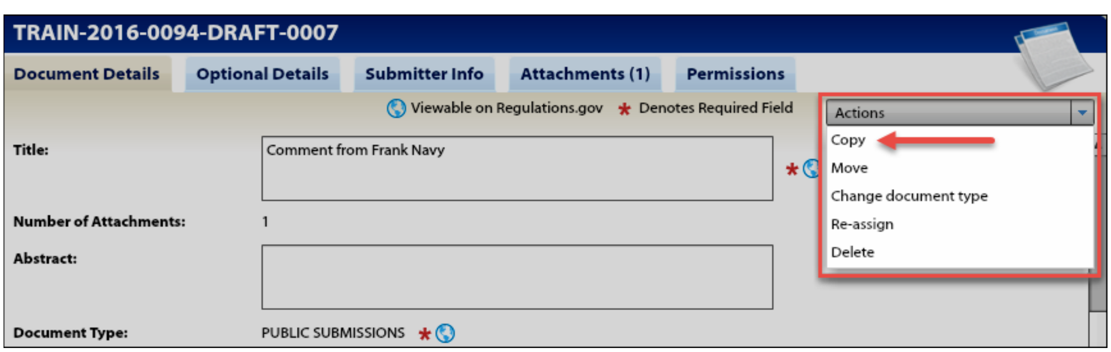


Figure 41: Actions Dropdown from the Document Details tab on a Public Submission

Notes

Searching for the Destination Docket

1. From the **Document Details** tab, select **Copy** from the **Actions** dropdown.
2. A pop-up window appears prompting users to select the destination docket and the **Docket Phase** and **Sequence**.
3. Click the **Select Docket** button and the **Select a docket** pop-up window displays.

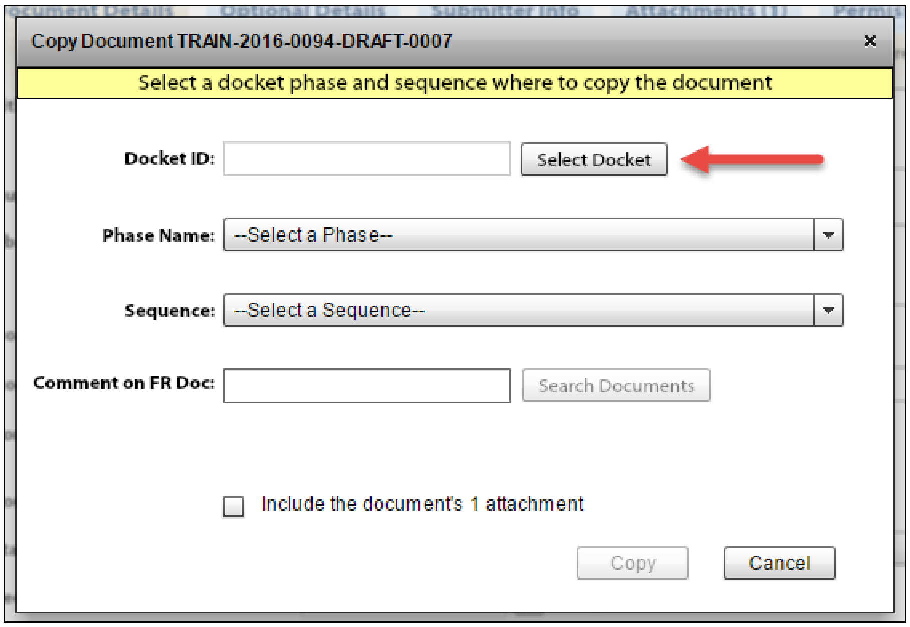


Figure 42: Copy Actions Pop-up Window

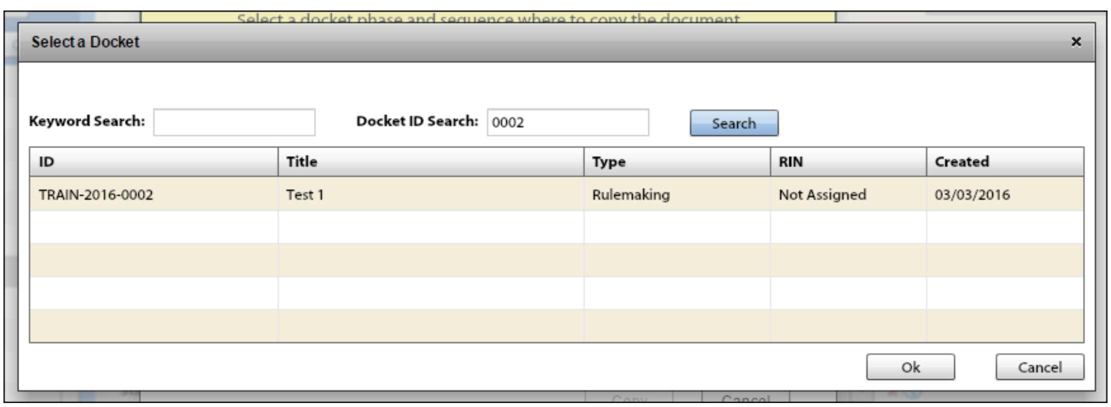


Figure 43: Docket Search Window

Searching for the Destination Docket Continued…

4. Enter **keywords** and/or a **full or partial Docket ID**.
5. Click the **Search** button and the search results are displayed.
6. Select the appropriate docket and click **OK**.

Notes

Searching for the Destination Docket Continued…

7. The **Docket ID** and **Title** are displayed on the **Select a Docket Phase and Sequence** pop-up window.

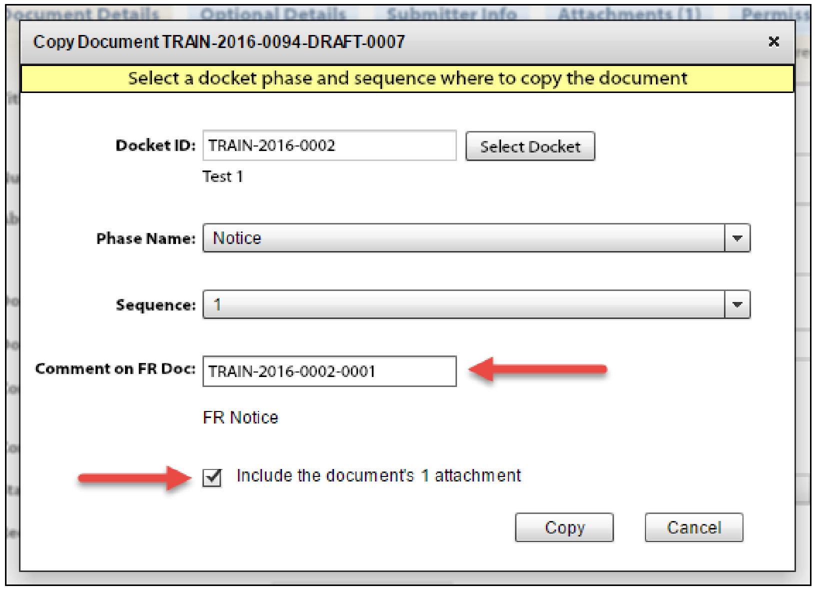


Figure 44: The Copy Action Pop-up Window Displaying the Selected Docket Information

Copying the Document

1. Select the appropriate **Phase Name** from the dropdown.
2. Select the **Sequence** from the dropdown.
3. Check the **Include the Document's (#) attachment** box to include the attachments with the **Copy** action.
4. Click the **Copy** button to confirm the action.
5. The **Confirmation Message** pop-up window displays (not shown), click **Continue** to confirm the copy action.

Note: The Copy Action can also be accessed from the Actions dropdown on the Optional Details and Submitter Info (if applicable) tabs.

Move

The **Move** action enables users to move the **Primary document** and **attachments** to other **Dockets** or **Phase-Sequences** within the same docket.

Moving the Document

1. From the **Document Details, Optional Details,** or the **Submitter Info** tab, select **Move** from the **Actions** dropdown.
2. Follow **steps 2-12** from the **Copy** section.

Note: The document and any associated attachments will be removed from the current Docket once the move action is performed.

Note: A posted document can only be moved within the phase sequences of a docket.

Change Document Type

The **Change Document Type** action enables users to change the document type of an existing document.

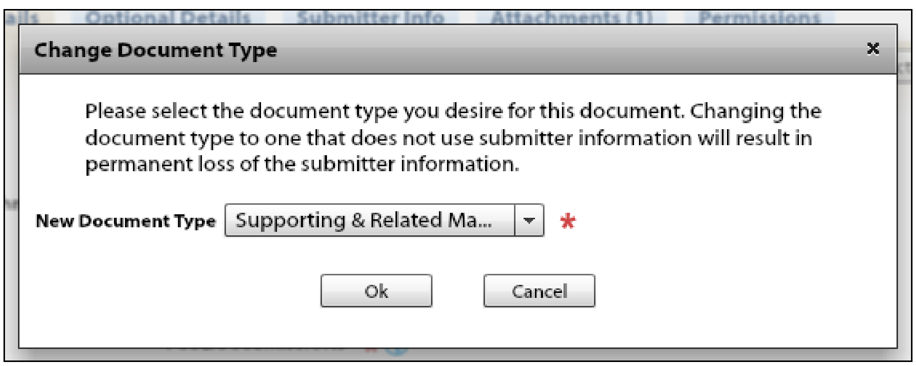


Figure 45: Change Document Type Pop-up Window

Changing the Document Type

1. From the **Document Details, Optional Details,** or the **Submitter Info** tab, select **Change Document Type** from the **Actions** dropdown.
2. The **Change Document Type** pop-up window displays.
3. Select the **new document type** from the dropdown.
4. Click **Ok** to confirm the change.

Note: Changing the document type to one that does not use Submitter Information will result in permanent loss of the submitter information.

Note: The document type of a posted document cannot be changed.

Notes

Notes

Re-assign

Re-assign action can be initiated from the **Actions** dropdown menu on the **Document Details**, **Optional Details** or the **Submitter Info** (if applicable) tabs.

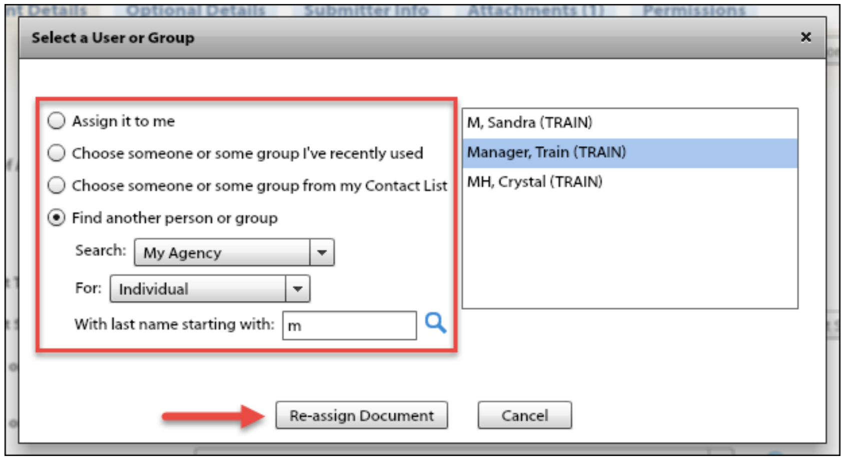


Figure 46: Select a User or Group to Re-assign

Re-assigning a Document

1. From the **Document Details, Optional Details,** or the **Submitter Info** tab, select **Re-assign** from the **Actions** dropdown.
2. The **Select a User or Group** pop-up window displays.
3. Select the one of the radio buttons as appropriate. The options are:
   - **Assign it to me**
   - **Choose someone or some group I've recently used**
   - **Choose someone or some group from my Contact List**
   - **Find another person or group:** can be used to find users/groups not in the contact list or recently used list. Users can search within their own **Agency** for an individual or a group and click the icon to populate the results in the window on the right.
4. Click the **Re-assign Document** button to confirm the re-assignment action.

Delete

The **Delete** action can be performed from the **Actions Dropdown** of the **Document Details**, **Optional Details** and **Submitter Info** (if applicable) tabs of an un-posted document that has been manually uploaded to the system. Any posted document becomes a part of the public record and cannot be deleted. A posted document can only be withdrawn as discussed in the next section.

Notes

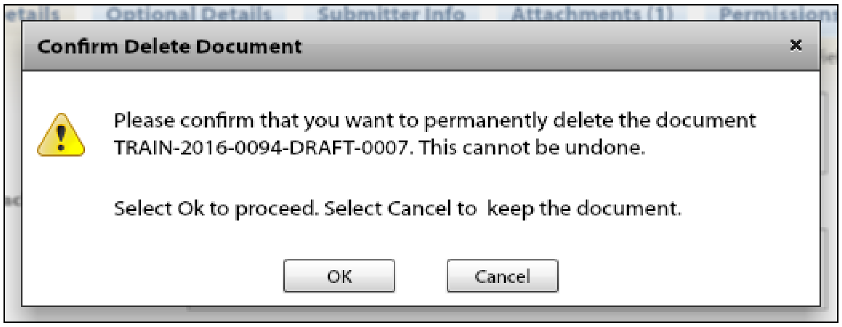


Figure 47: Confirm Delete Document Pop-up Window

Deleting a Document

1. From the **Document Details, Optional Details,** or the **Submitter Info** tab, select **Delete** from the **Actions** dropdown.
2. The **Confirm Delete Document** pop-up window displays.
3. Select the **Ok** button to delete the document from the system.

Note: Once a document is deleted, it is permanently erased from the system.

Supporting and Other Document Types

On unposted **Supporting** and **OTHER** Documents types, the **Actions Dropdown** presents users with options to **Add or Replace a file** or **Add a rendition** to an existing primary file.

Add or Replace a File/Add Rendition

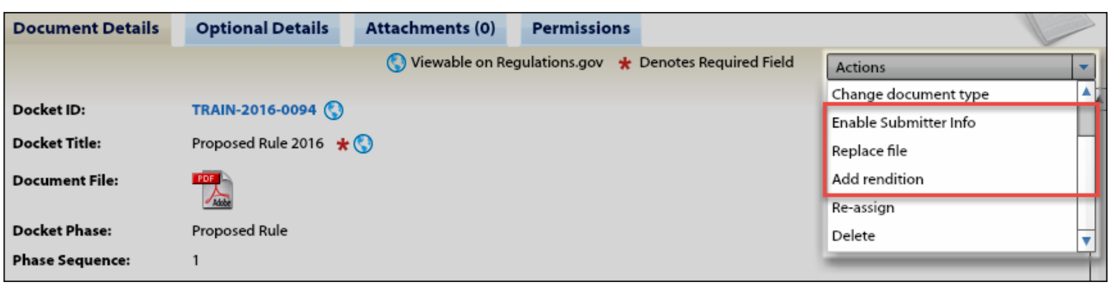


Figure 48: Actions Dropdown on an Unposted Supporting and Other Document Types

Add or Replace a File or Add a Rendition

1. From the **Document Details, Optional Details,** or the **Submitter Info** tab (if enabled) **Actions** dropdown select:
   - **Add a File:** If the document does not contain a primary file.
   - **Replace File:** If the primary file needs to be replaced for some reason.
   - **Add Rendition:** If a rendition file needs to be added to the document.

Notes

Add or Replace a File or Add a Rendition

2. Once the action is selected, a browse window appears. Find the file to be uploaded and click the **Open** button in the browse window (not shown here).
3. The message indicating the successful upload appears at the top of the resulting screen (not shown here).

Enable or Disable Submitter Info

This action is available only if the agency configuration allows for **Submitter Info** on **Supporting** and **Other** document types**. Submitter Info** can be enabled on these document types from the **Document Details** and **Optional Details** tabs. In addition to these two tabs, the **Submitter Info** tab **Actions dropdown** provides the option to disable the **Submitter Info** if already enabled.

Enable or Disable Submitter Info

1. From the **Actions** dropdown on **Document Details** or **Optional Details** tabs, select **Enable Submitter Info**.

   Note: The message "The document is being updated in the repository" appears at the top of the content view.
2. Once the update is complete, click the **Submitter Info** tab to enter the submitter information and click the **Save** button to save the information.
3. To disable the Submitter Info tab, select the **Disable Submitter Info** option on the **Actions** dropdown located on the **Document Details, Optional Details** or **Submitter Info** tabs.
4. Click the **Ok** button in the confirmation pop-up window to complete the action (not shown here).

FR Document Types

For the following dropdown options:

- View Deduplication Results
- View Auto Categorization Results

See the **Comment Deduplication** and **Auto Categorization** sections for details.

Notes

Optional Details

The **Optional Details** fields are comprised of non-required metadata fields.

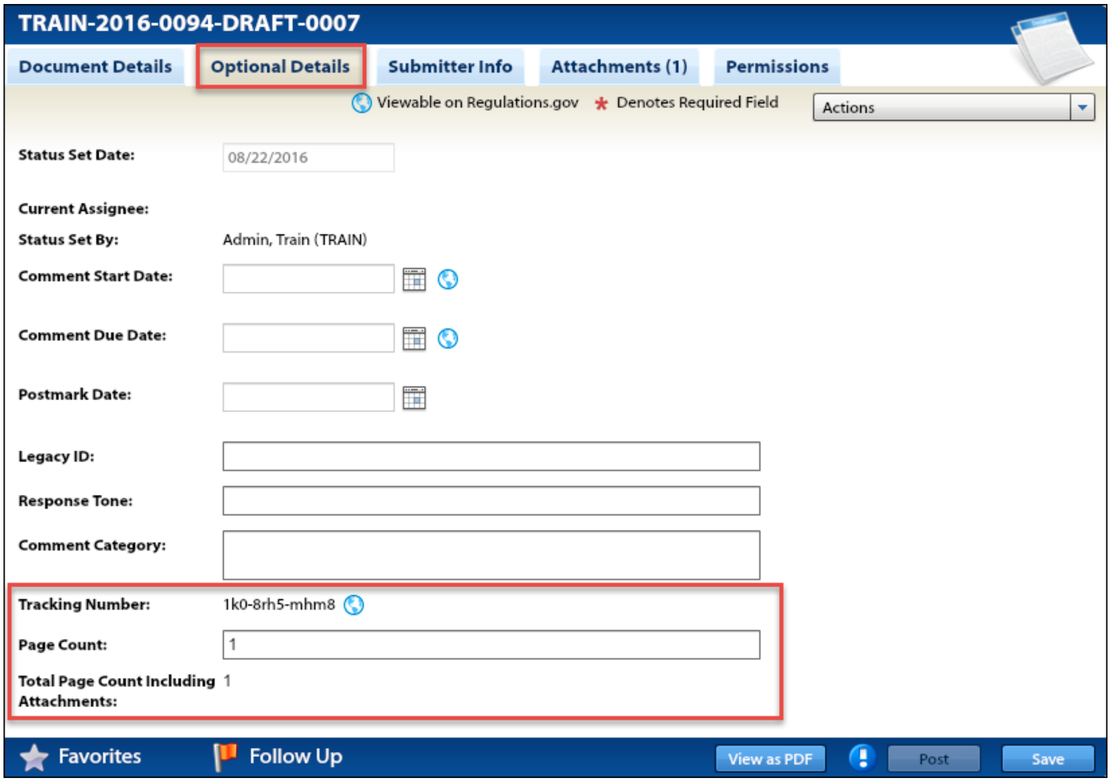


Figure 49: Optional Details Tab

Optional Details

1. Update the **Page Count** field to reflect the number of pages in the primary file.
2. Click the **Save** button to save new or modified entries.

*Note: A unique document **Tracking Number** generated by the system is located on the **Optional Details** tab.*

*Note: The **Actions** dropdown options under the **Optional Details** tab are identical to those found in **Document Details**.*

*Note: The system generated HTML file for Public Submissions is defaulted to **1** page.*

Notes

Submitter Info

The **Submitter Info** fields include information specific to the submitter of a **Public Submission**. Submitter Info can also be included for **Supporting and Related Materials** and **Other** document types.

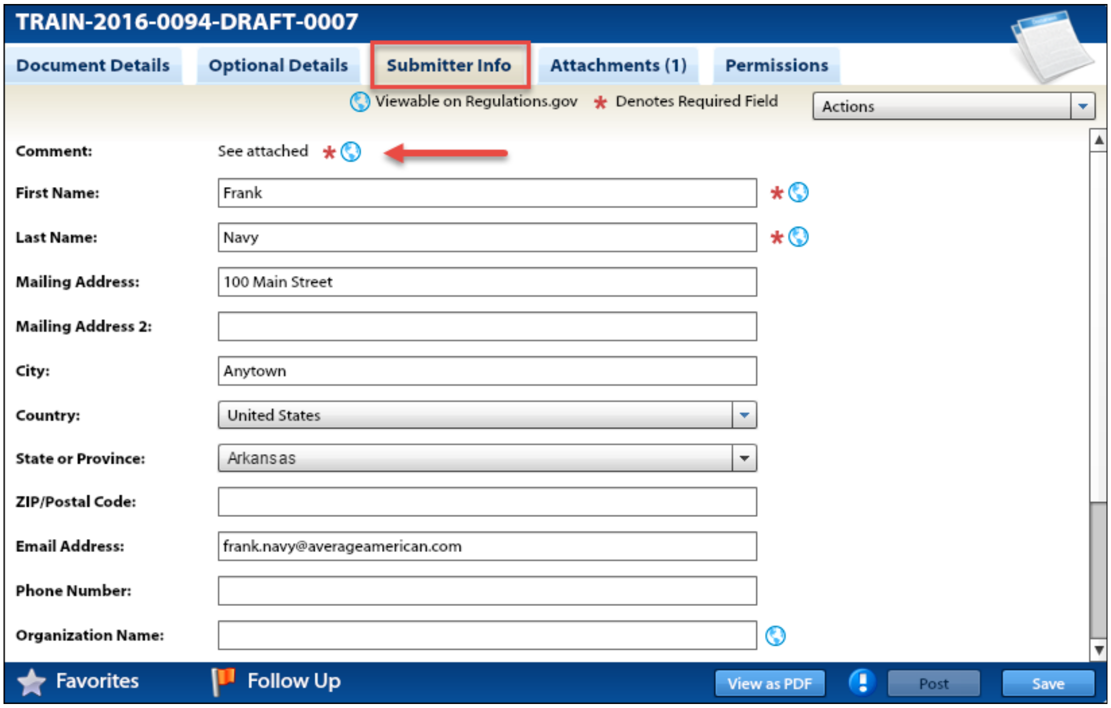


Figure 50: Submitter Info Tab

Submitter Info

1. Click the **Save** button to save new or modified entries.

   *Note: Supporting and Other Document types with the Submitter Info tab enabled will also see the option the **Enter Comment** in the actions dropdown.*

   *Note: The Submitter Info tab has options to **Redact** a comment and **Show/Hide the Original** comment in the actions dropdown.*

Notes

Redact a Comment and Show/Hide Original Comment

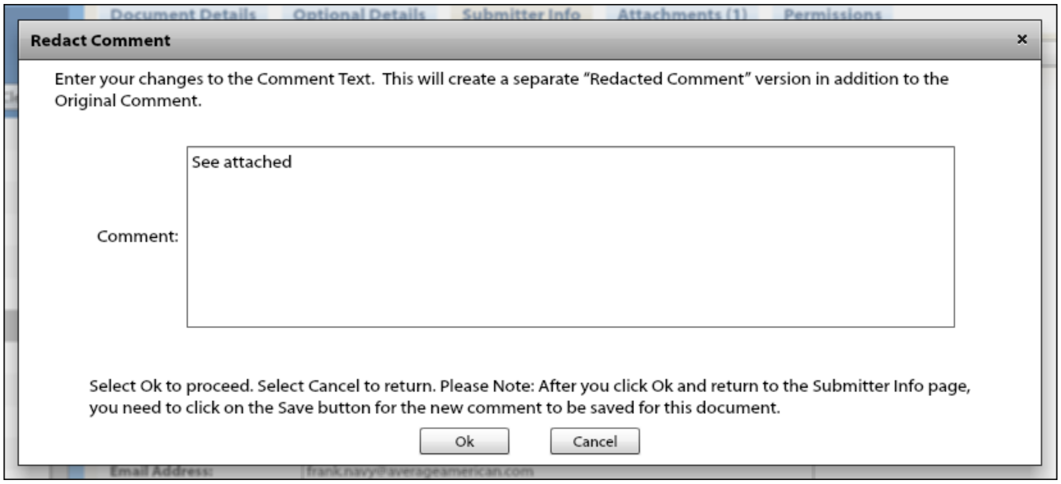


Figure 51: Redact Comment Pop-up Window

Redact a Comment and Show/Hide Original Comment

1. On the **Submitter Info** tab **Actions** dropdown, select **Redact Comment**.
2. On the **Redact Comment** pop-up window, redact the comment and click the **Ok** button.
3. The **Redacted Comment** appears at the top of the screen. Click the **Save** button to save the changes.
4. Simply select the **Show/Hide Original Comment** from the **Actions** dropdown to view or hide the original comment.

Supporting and Other Document Types

On unposted **Supporting** and **Other** Documents types with the **Submitter Info** tab enabled, the **Actions Dropdown** in the **Submitter Info** tab presents users with the option to **Enter Comment.**

Enter Comment

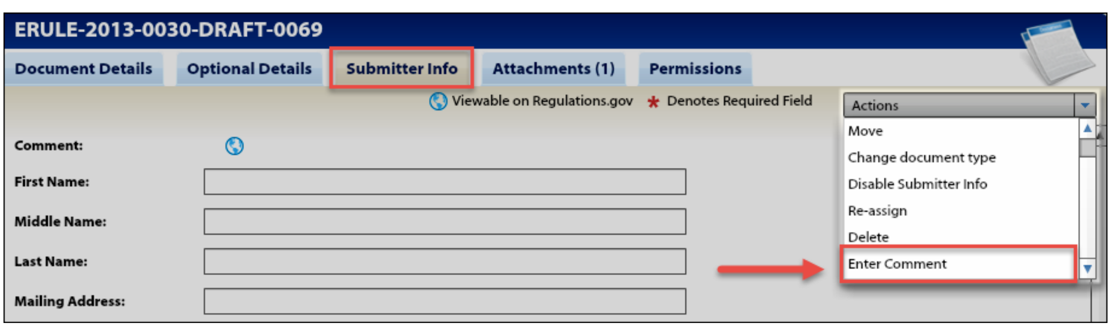


Figure 52: Actions Dropdown on Unposted Supporting and Other Document Types

Notes

Enter Comment

1. From the **Actions** dropdown on the **Submitter Info** tab, select **Enter Comment**.
2. On the **Enter Comment** pop-up window, enter the comment text and click the **Ok** button.
3. The **Comment** appears at the top of the screen. Click the **Save** button to save the changes.

Attachments

Attachments are files associated to a **Primary Document**. The Attachments section enables users to upload new attachments and manage the existing attachments.

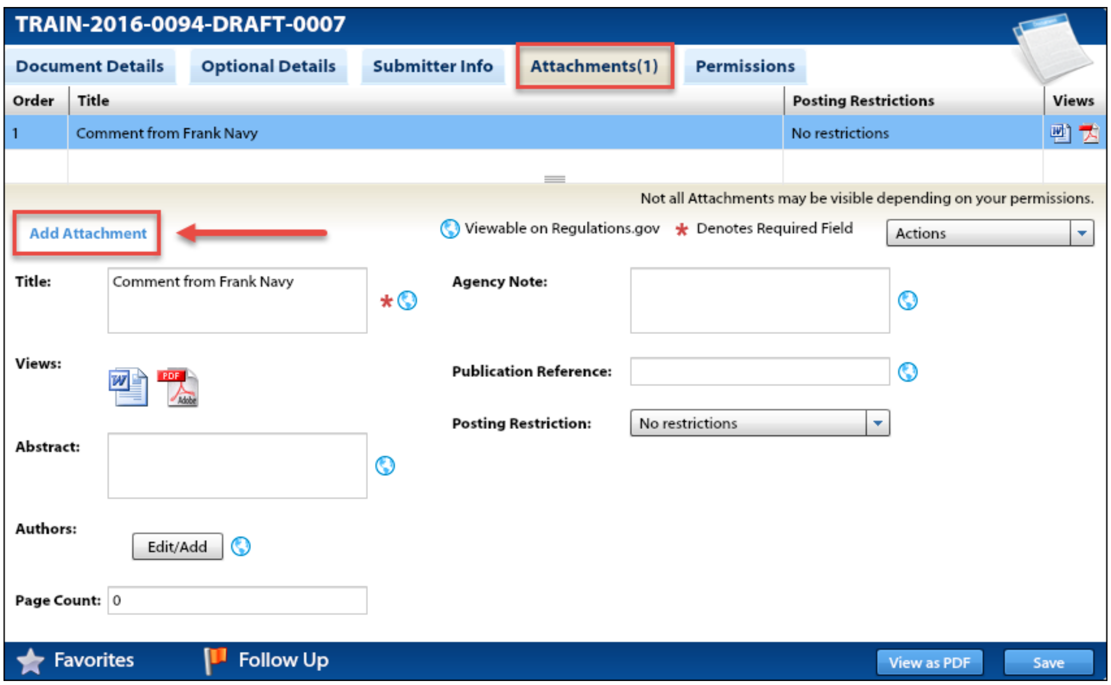


Figure 53: The Attachments Tab

Notes

Adding Attachments

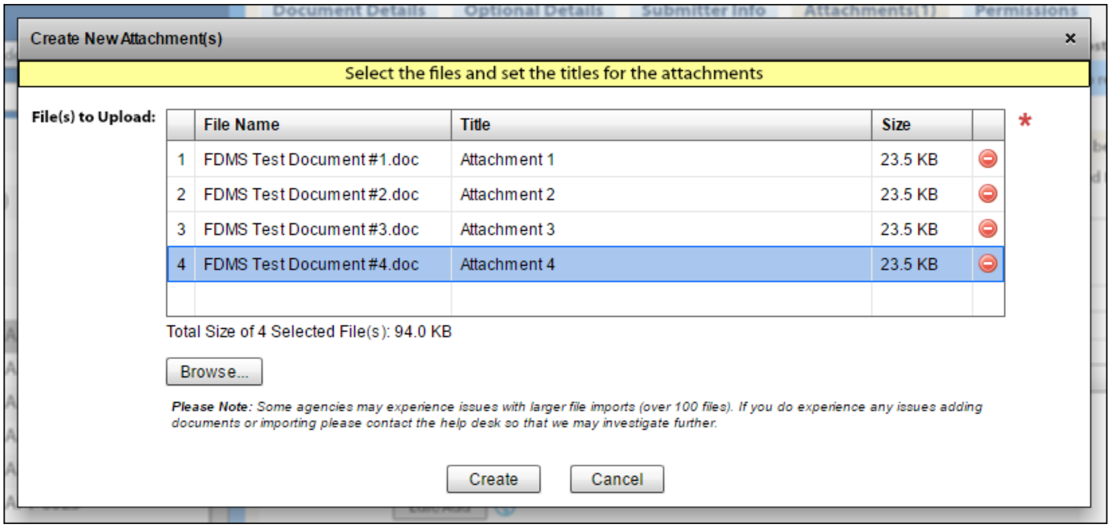


Figure 54: Create New Attachment(s) Pop-up Window

Adding Attachments

1. Click the **Add Attachment** link located below the attachments list.
2. The **Create New Attachment(s)** pop-up window displays.
3. Click the **Browse** button to search and find the attachment file(s).
4. Double click to enter a new **Title** for the attachment(s).
5. Click the **Create** button to confirm the action.

Note: Users are able to update/edit Attachment metadata in the resulting screen.

Attachment Posting Restrictions

Individual **posting restrictions** can be applied to attachments.

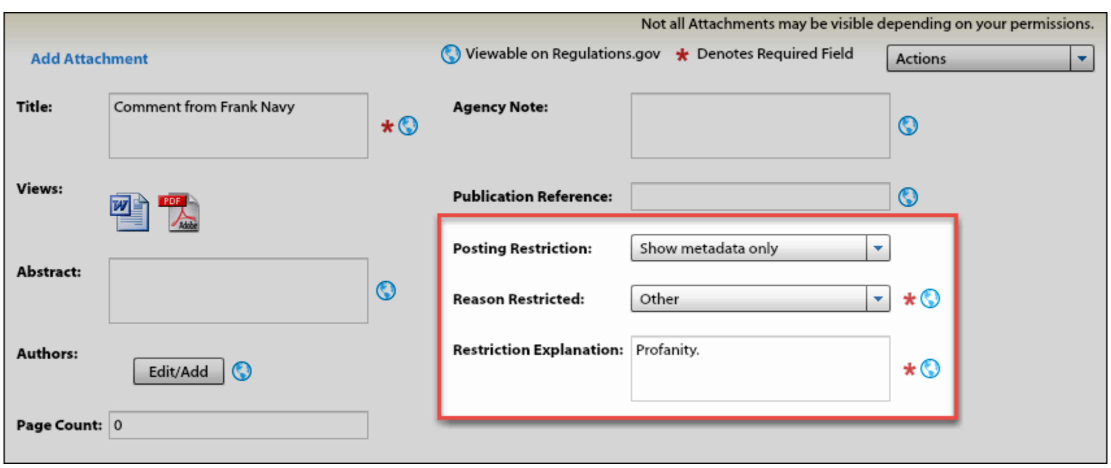


Figure 55: Posting Restrictions on Attachments

Notes

Posting Restrictions

1. Click the **Posting Restriction** dropdown and select the appropriate option. The Posting Restriction options are:
   - **No Restrictions:** No restrictions will be applied to the attachment.
   - **Show Metadata Only:** Only the metadata fields are viewable to the public, not the attached file.
   - **Restrict All:** All metadata and attached files will be restricted from the public view.

Note: If restrictions are applied, a Reason Restricted is required.

Note: Restrictions take effect once the Primary Document is posted.

Attachment Actions Menu

The **Attachments Actions** Menu contains additional actions to manage attachments.

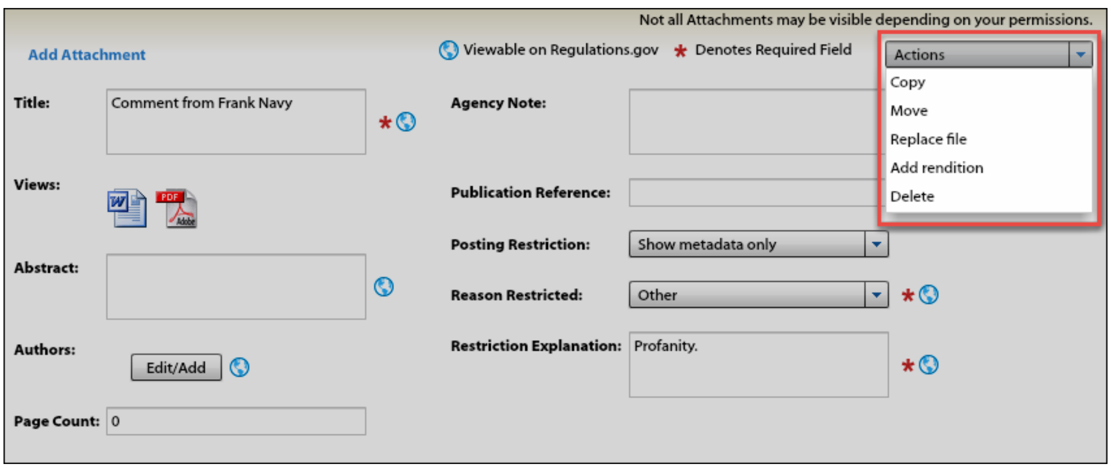


Figure 56: The Attachments Actions Dropdown

Notes

Copy

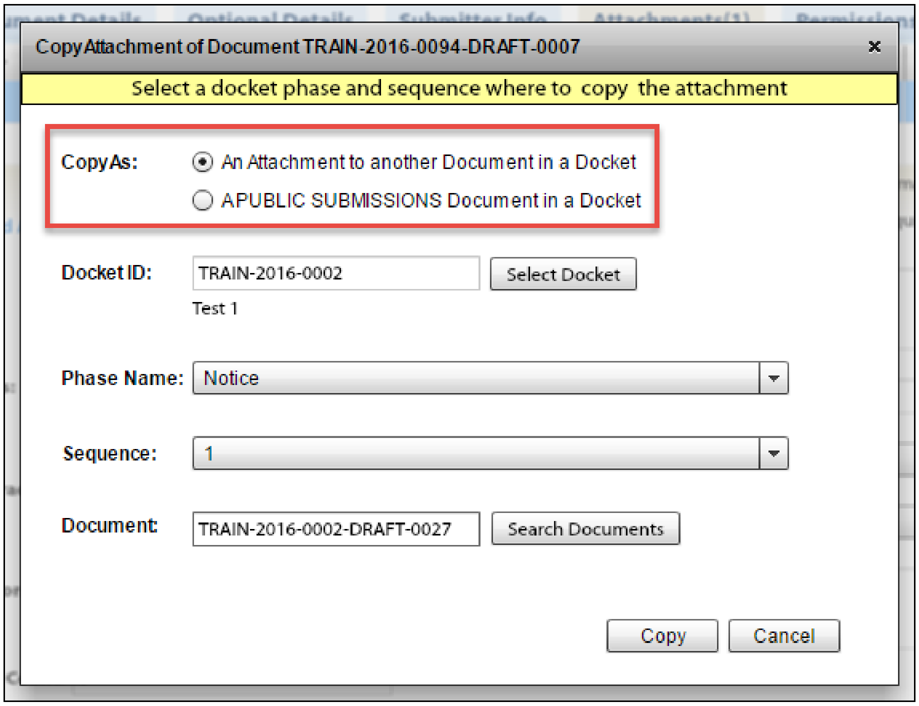


Figure 57: Copy Attachment Pop-up Window

Copy an Attachment

1. Click the **Actions** dropdown on the Attachment Details screen and select **Copy**.
2. The **Copy Attachment** pop-up window displays.
3. Choose the applicable **Copy As** option:
   - **An attachment to a document in a docket**
   - **A primary document in a docket:** The existing **document type** will be copied to the destination docket.
4. Click the **Select Docket** button to search for the docket.
5. Select the **Phase Name** and **Sequence** from the dropdowns.
6. If copying as an attachment to a document, click the **Search Documents** button to search for the document.
7. Click the **Copy** button to continue and confirm the action.

Note: A confirmation pop-up window displays with an option to go directly to the new attachment/document or remain on the current attachment.

Notes

Move

Move an Attachment

1. Click the **Actions** dropdown on the Attachment Details screen and select **Move**.
2. Follow **steps 2-7** from the **Copy** section.

Note: A confirmation pop-up window displays with an option to go directly to the new attachment/document or remain on the current attachment.

Replace File and Add Rendition

Replace File and Add Rendition

1. Click the **Actions** dropdown on the Attachment Details screen and select **Replace File** or **Add Rendition**.
   - **Replace File:** Replaces the existing file.
   - **Add Rendition:** Adds an additional file to the existing one.

   Note: When a file is uploaded into FDMS it is automatically rendered into PDF format in addition to the native file type.
2. From the browse window (not shown here), find and upload the file to be replaced with or the rendition file.

Delete

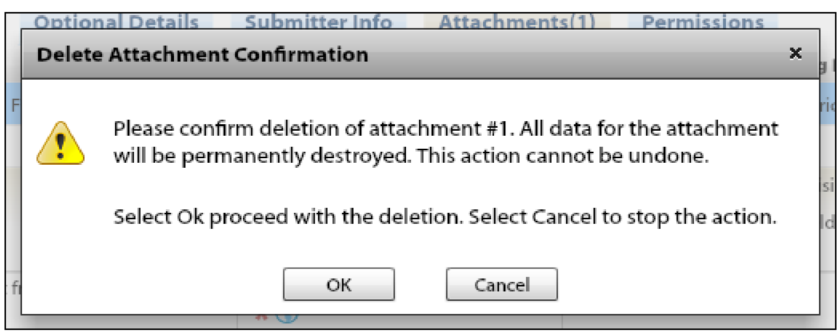


Figure 58: Delete Attachment Confirmation Pop-up Window

Notes

Delete an Attachment

1. Select the **Attachment** you wish to delete from the Attachments list.
2. Click the **Actions** dropdown on the Attachment Details screen and select **Delete**.
3. Confirm the action in the pop-up window.

Note: Attachments can only be deleted from an unposted document.

Document Permissions

Permissions to a document can be managed by using the **Permissions** tab at the document level.

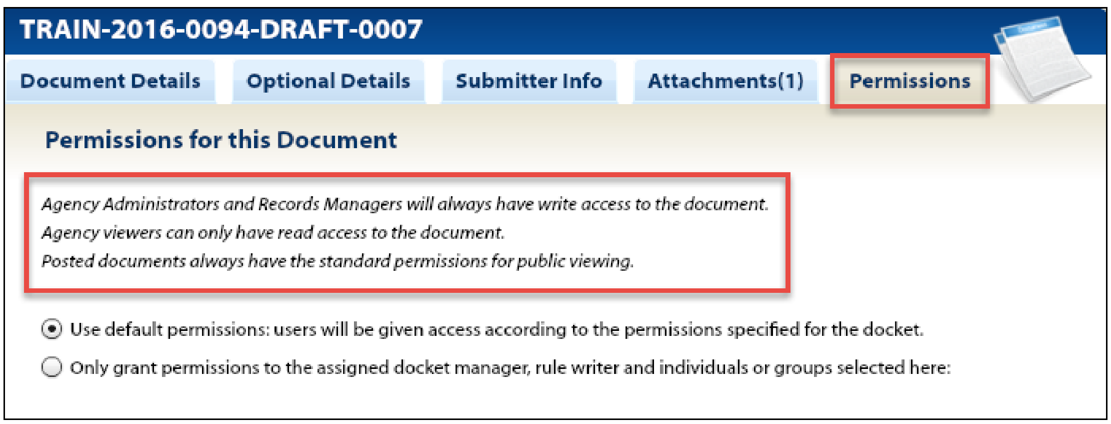


Figure 59: Document Permissions Tab

Document Permissions

1. By default, the docket permissions are applied to the Document.
2. Click the second radio button to apply customized permissions to the document.

*Note: Refer to the **Docket Permissions** section for instructions on finding/searching for individuals or groups to add to the permission list.*

Notes

Docket Tree and Document List

The **Docket Tree** enables users to view all the documents within a Docket. Docket Tree is the only location for adding a single Document with or without attachments (Refer to **Adding a Document**) or Bulk Importing multiple Documents (Refer to **Bulk Importing Documents**).

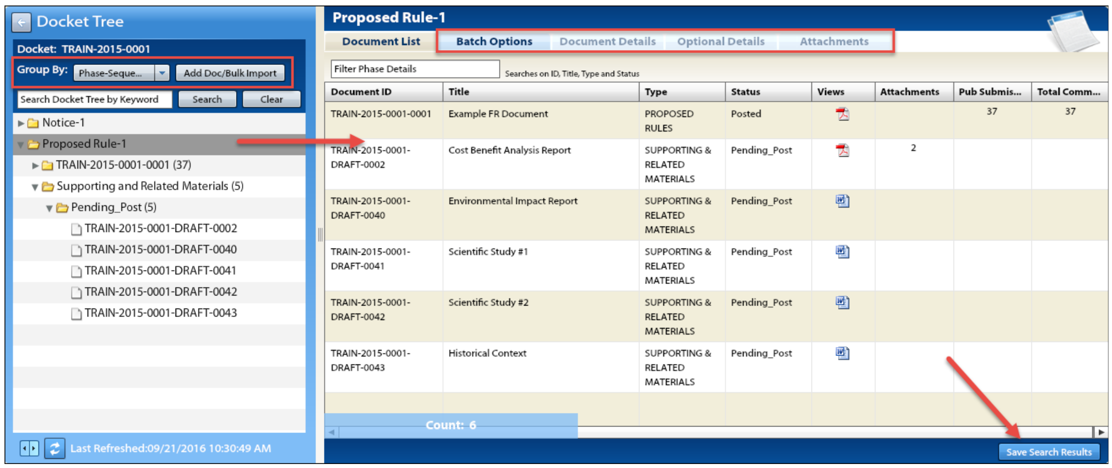


Figure 60: Phase-Sequence Contents Document List

Docket Tree and Document List

1. Click the **Group By** dropdown to arrange the documents in the desired manner. Users can choose **Phase-Sequence, Status, Date Received,** and **Document Type**.
2. Click the **Add Doc/Bulk Import** button to add a document or bulk import multiple documents in the docket. (Refer to sections - **Adding a Document** and **Bulk Importing Documents**).
3. Use the search bar to filter the Docket Tree by partial or full Document ID's, Title, Type or Status.
4. Click on a **Phase-Sequence** folder to display the contents (**Document List**) on the right.
5. Use the smart search bar at the top of the **Document List** to filter the Document List by full or partial Document ID's, Title, Type or Status.
6. Documents can be rearranged by clicking on the column headers.
7. The table displays **Document IDs, Titles, Type, Status, Views** (the primary file which is clickable), **No. of attachment(s)** on each document.
   - The last two columns represent the total number of comments submitted and uploaded in FDMS on an FR document and the total number of comments including the duplicates that were not uploaded.

Notes

Docket Tree and Document List

8. Select an individual document to activate Document Management tabs next to the Document List and Batch Options tab in the content view.
9. Open the **Document Details, Optional Details,** or **Attachments** tab to edit metadata fields or to perform an action while remaining in the Document List.

   Note: The Submitter Info tab will also be available for Public Submissions or Supporting and Related Materials with the Submitter Info tab enabled.

   Note: For more information on document tabs see the ***Managing a Document*** *section.*

10. Double click on a document to navigate to the **Document Details** page.
11. Click a **status** subfolder under the FR document, and the folder contents will display on the right.

    Note: Select multiple documents from the Document List to perform Batch Processing from the Batch Options tab.

12. Click the **Save Search Results** button to save the contents displaying on the list. See the **Save Search Results Export** section for further details.

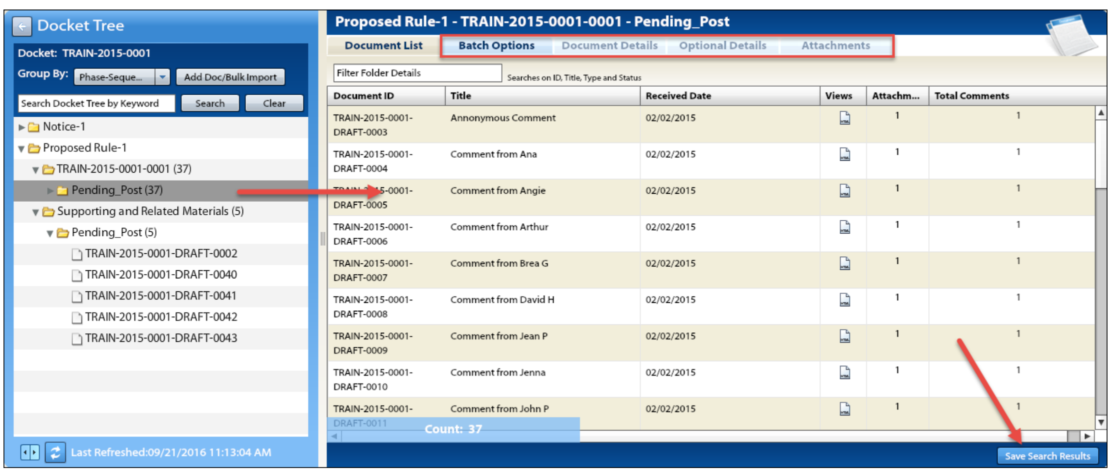


Figure 61: Status Folder Contents Document List

Notes

Batch Processing

Batch Processing enables users to process multiple documents at the same time. Batch processing can be performed from different locations: **Document lists** from all the **Menu** Options, **Search Results, Docket Tree** and the **Duplicates Tree**.

Batch Processing Locations

Homepage Menu Options and Search Results

Batch Processing can be performed by selecting multiple documents from the **Search Results** or the following **Menu** options: **Inbox, FR Feed, Work Queue, My Favorites, Recently Viewed** and **Flagged Documents**.

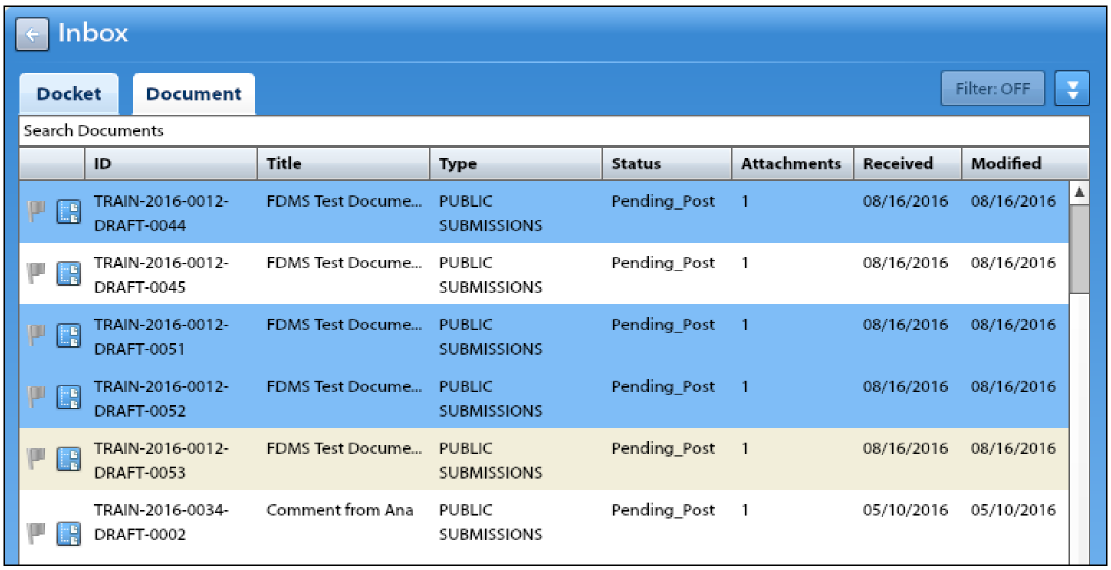


Figure 62: Selecting Multiple Documents from the Document List

Selecting Multiple Documents

1. Click the **Document Tab** from the Menu option (if applicable).
2. Use the following windows hotkeys to select multiple documents from the **Document List** or the **Document Search Results**.
   - **CTRL + A** to select all the documents in the list.
   - **CTRL + click the desired documents** to selectively highlight multiple documents.
   - Multiple documents can also be selected by using **SHIFT + up or down arrow** or by using the left click on your mouse.
3. The **Multiple Document Selection** screen appears.

   Note: The Batch Options tab located next to the Document Center Summary tab is used when batch processing from the Work Queue.

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Notes

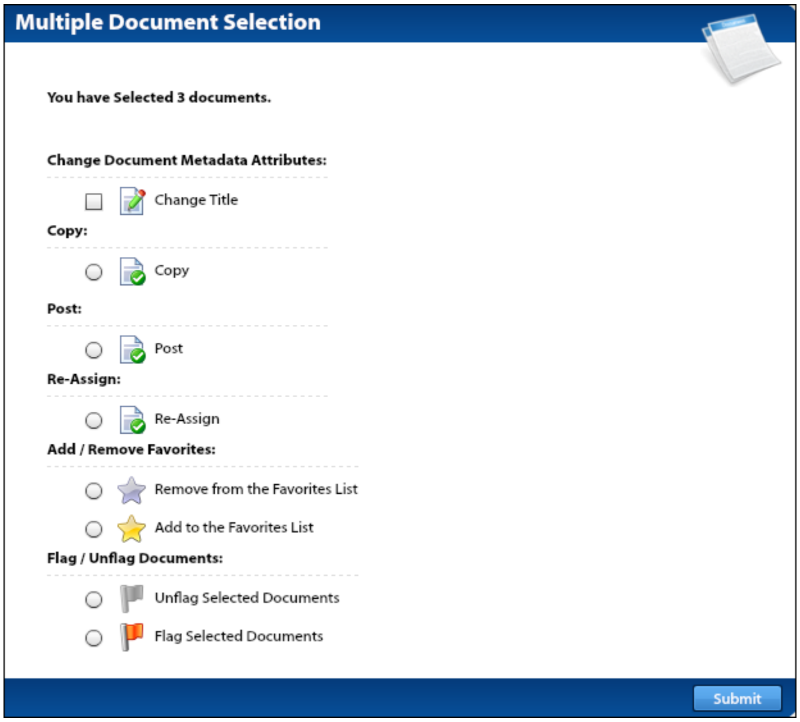


Figure 63: Batch Processing Options for Multiple Document Selection

Batch Processing Options for Multiple Document Selection

1. The **Number of documents** selected is displayed at the top of the screen.
2. Select the **radio button** or the **check box** next to the batch action to be performed. Users can **Change Title, Copy, Post, Re-Assign** or **add to** or **remove** the selected documents from their **Favorites List**. The selected documents can also be **flagged** or **unflagged**.

   Note: Only one radio button can be selected at a time.

   Note: Although Rule Writers are able to submit a batch posting job, the documents will not be posted as Rule Writers do not have the ability to post documents.
3. Click the **Submit** button at the bottom right of the screen to batch process the documents.
4. On the **Confirm the Requested Changes** pop-up window (not shown here), click the **OK** button.

   Note: A message stating that Your Request has been submitted *is displayed at the top of the screen.*

   *Note: The batch jobs submitted for Change Title, Copy, Post and Re-Assign can be accessed from the Batch Jobs link. (Please see the **Batch Jobs** section for details)*

Notes

Docket Tree and Duplicates Tree

Batch Processing can be performed from within the **Docket Tree** by selecting a **documents folder** (e.g. Pending Post folder) or by selecting multiple documents from within a Documents folder. Similarly, Batch Processing can also be done in the **Duplicates Tree** (the Deduplication Results) by selecting a **pivot folder** or by selecting multiple documents from within a Documents folder.

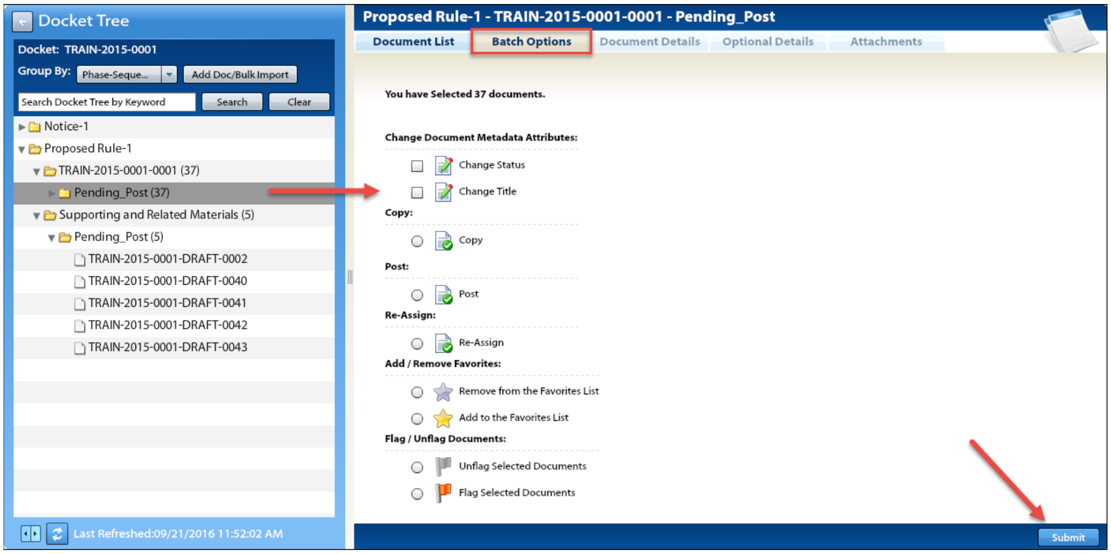


Figure 64: Batch Options Tab When Selecting a Folder from the Docket Tree

Batch Processing Options for Multiple Document Selection

1. Click the icon to access the **Docket Tree** or access the **Deduplication Results** to access the **Duplicates Tree**.

   *Note: Refer to the **Deduplication Results** section of the guide for instruction on accessing Deduplication Results (Duplicates Tree).*

2. Users can click a documents folder (e.g. Pending Post, Pivot folder etc.) or select multiple documents using windows hotkeys as described above.

   Note: The Batch Options tab is available in all documents folders except the folder containing the Federal Register Document (when the Docket Tree is grouped by Phase-Sequence).

   Note: Multiple documents can also be selected from the documents list in the contents view.

3. Click the **Batch Options** tab to view the batch processing options if a folder is selected. If multiple documents have been selected, the Multiple Document Selection window appears.

4. Both screens present users the similar batch processing options.

   ❖ The users are able to **change the Document Metadata Attributes**

Batch Processing Options for Multiple Document Selection

(Status and Title) at the same time. OR

- ❖ The users can **Copy** selected documents to another docket. OR
- ❖ The users can select the **Post** radio button to batch post documents in pending post status. OR
- ❖ The users can **Re-Assign** the documents to another user or group. OR
- ❖ The selected documents can be added to or removed from the **Favorites list** or flagged or unflagged.

Note: Users can select one radio button or multiple checkboxes.

Note: Although Rule Writers are able to submit a batch posting job, the documents will not be posted as Rule Writers do not have the ability to post documents.

5. Once the desired Batch Option(s) is selected, click the **Submit** button to initiate the batch job.
6. Click **Ok** on the **Confirm the Requested Changes** pop-up window to confirm submission of the Batch Job (not shown here).

*Note: A message stating that **Your Request has been submitted** is displayed at the top of the screen.*

*Note: Users will be able to change document **Subtype**, if batch processing from within a document status folder.*

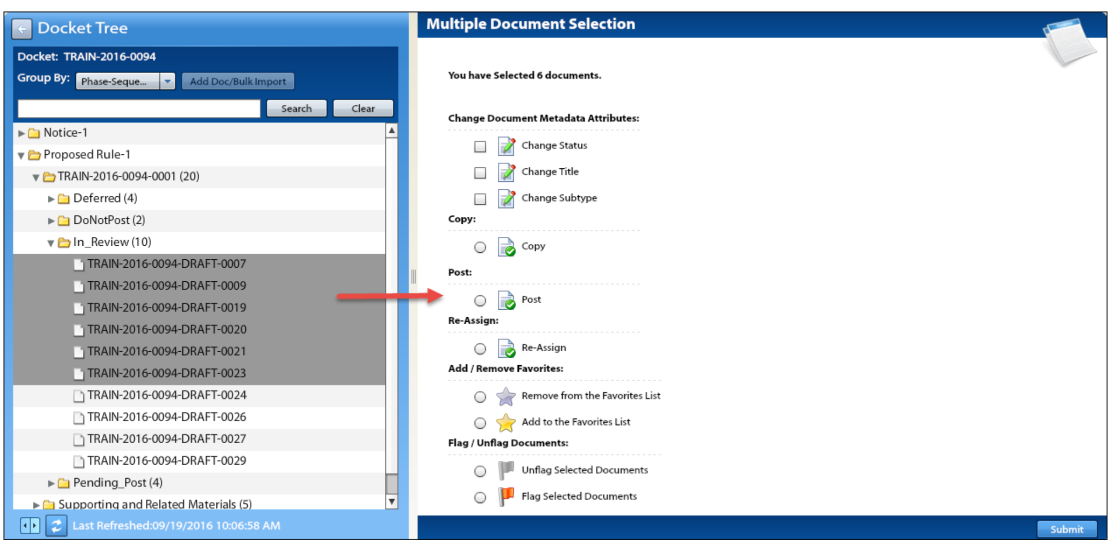


Figure 65: Multiple Document Selection from Within a Folder

Notes

Batch Jobs

Batch Jobs displays a user's batch processing requests and their statuses. It can be accessed via the top tool bar.

Figure 66: Batch Jobs Link

A batch request such as changing the metadata attributes (status and title) and batch posting creates **batch jobs**. These batch jobs and their statuses are displayed in a **Batch Tree** format.

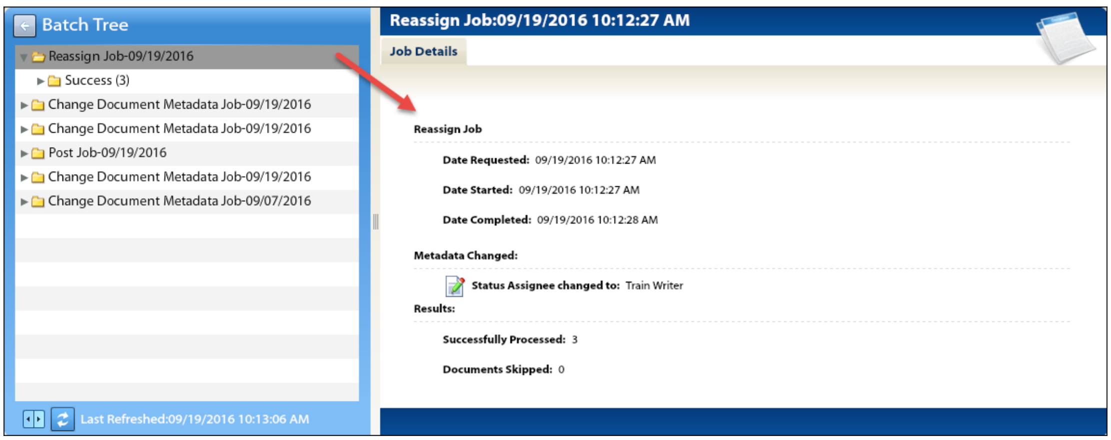


Figure 67: Batch Tree displaying Job Details on the Right

Viewing Batch Jobs

1. Click the **Batch Jobs** link in the top tool bar to access the **Batch Tree**.

   Note: The most recent batch job submitted by the user appears at the top of the Batch Tree.

2. Select a **batch job folder** in the **Batch Tree** to view the **Job Details** in the content view on the right. The job details includes the **date and time** when the job was **requested, started** and **completed**. It also shows the **type** of the batch job and the **results**.

   Note: The Job title displays the date and type of batch request submitted

3. Select a sub-folder (e.g. Success subfolder) to see the contents on the right. The **Folder Details** displays the **Document IDs** along with the batch **action** performed and the **original** and **new** values.

   Note: Skipped and Not Processed are the other possible subfolders within a batch job folder.

Notes

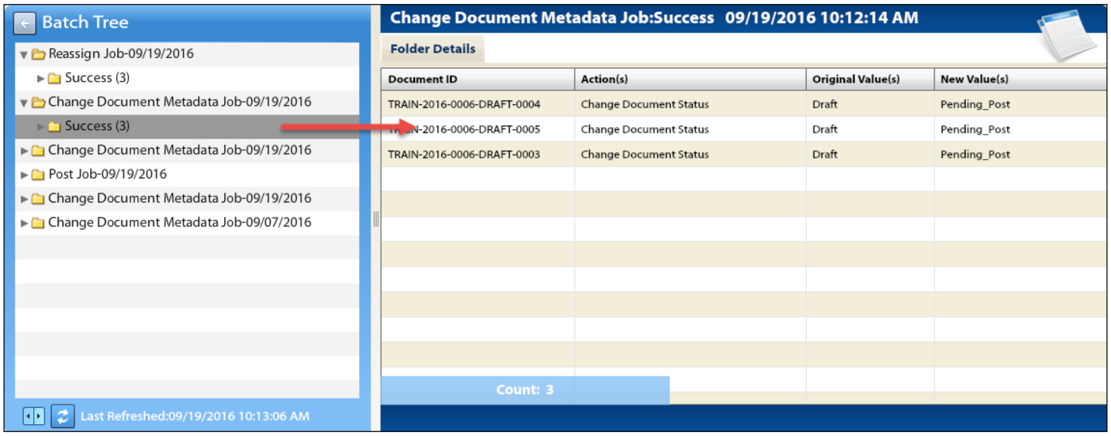


Figure 68: Folder Details on a Batch Job

Notes

Comment Deduplication

Users have the ability to check for and run reports on the duplicate comments received on any Document that receives public submissions. The **Deduplication** tool helps agencies in the timely and efficient reviewing and processing of comments, especially when they are received in large quantities.

Deduplication Process and Important Terms

FDMS uses a leading text analytics software technology that applies statistical capabilities to detect duplicate and near duplicate documents based on a percentage threshold of identical text.

- The Deduplication engine evaluates both web form comment text and the text contained in the first attachment of the comment (if available).
- The engine selects a baseline document (referred to as a pivot document) and matches comments that contain at least 60% identical text from the base document (identified as 'near duplicate' documents).
    - **Pivot Document:** The comment identified by the Deduplication engine as the baseline to detect other near duplicate comments.
    - **Near Duplicate Document:** A comment that contains at least 60% identical text from the pivot document.
    - **Unique Documents:** Comments that are unlike any of the pivot documents (or do not meet the minimum threshold) and thus do not fit in to any set of near duplicate comments.
- The engine is useful in identifying duplicate submissions from individuals as well as form letters and mass mail campaigns.
- It may take up to 24 hours for the Deduplication process to be complete and the results to be viewable.

Viewing the Deduplication Results

The Deduplication feature can be accessed from the **Actions Dropdown** on the **FR** or **Other Document** where the comments are being made.

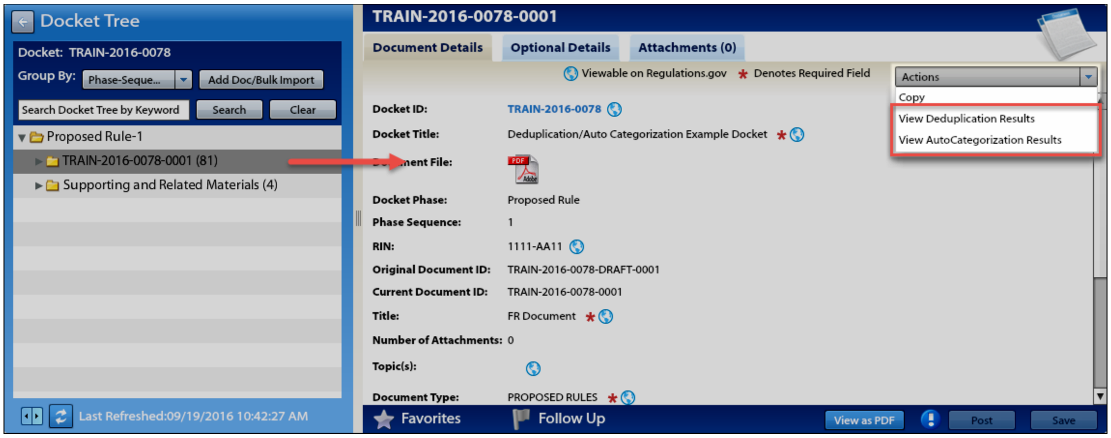


Figure 69: Actions Dropdown on an FR Document

Viewing the Deduplication Results

1. Click the **Document ID** of the **FR Document** (not shown here).
2. From the **Document Details** screen, click the **Actions** dropdown and select **View Deduplication Results**.

Deduplication Results

The **Deduplication Results** are displayed in a split screen. On the left is the **Duplicates Tree** and on the right in the content view is the **Deduplication Details** bar diagram.

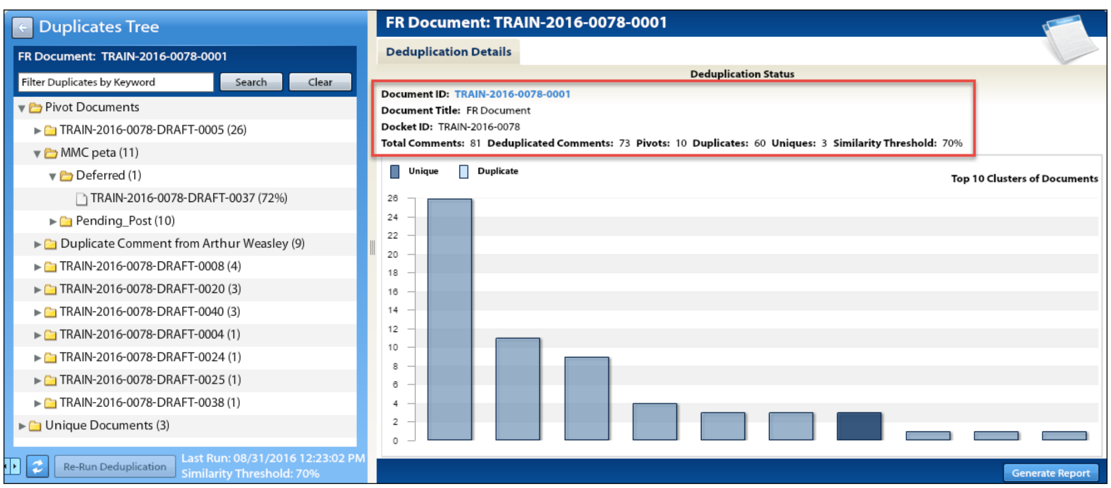


Figure 70: Duplicates Tree on the Left and Deduplication Details on the Right.

Notes

Viewing Deduplication Results

1. The **Deduplication Details** displays the **FR Document ID, Docket ID,** and the number of **Pivots, Duplicates,** and **Unique** Documents at the top of the screen.
2. The bar diagram will display the **Top Ten Clusters of Documents.**
3. Click the **Generate Report** button to receive an emailed report (as an Excel spreadsheet) on the Deduplication Results.
4. Within the **Duplicates Tree** click the ▶ icon to expand the folders and see the contents.
5. In the **Pivot Folder** users will see a **percentage** in parenthesis next to the **Document ID** of the **Near Duplicates** indicating the amount of identical text with the Pivot.

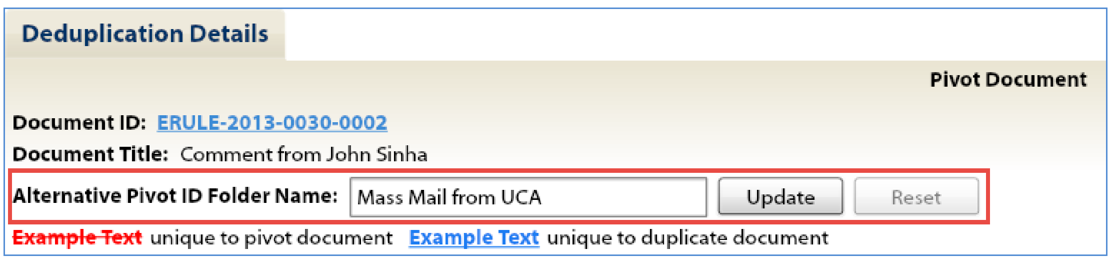


Figure 71: Entering an Alternative Pivot Folder ID Name

Figure 72: Near Duplicate Document

Notes

Viewing Deduplication Results Continued…

6. Click the **Document ID** of the **pivot** document to view the content on the right (not shown here). From the **Deduplication Details** of the pivot document users with edit rights can utilize the **Alternative Pivot ID Folder Name** option to rename the folder (shown above).

   Click the **Reset** button to revert the pivot folder name back to the pivot document ID number.

7. Click the **Document ID** of a **near duplicate** document to view the content details and deduplication analysis on the right as shown in the figure above.
   - The **Black** text on the near duplicate comment is **exactly the same** text as is in the pivot document.
   - The Blue text on the near duplicate comment is the text that is **unique to the near duplicate** comment.
   - The Red text indicates the text that is **unique to the pivot** document only.

8. Navigate to the **previous** or the **next** comment/screen by clicking on the respective buttons located at the bottom right of the screen.
   - **Previous** button is disabled when the first document of the folder is selected.
   - **Next** button is disabled when the last document of the folder is selected.
   - **Previous** and **Next** button both are disabled when the folder has only one document.

9. Users with edit rights also have an option to mark the comment as **unique**. Doing so will move the comment to the **Unique Documents** folder.

   Note: If the document being moved is the only near duplicate document in the pivot folder, the pivot document will also be moved to the unique folder.

10. Click the **Move Back to Pivot** button at the bottom right of the screen to move back the near duplicate and/or the pivot comment to its pivot folder.

    *Note: In a scenario when there was only one duplicate comment prior to moving to the duplicate folder, clicking **Move Back to Pivot** button on the duplicate document will also move the pivot document back to the pivot folder.*

    *Note: In the same scenario as mentioned in the previous note, if **Move Back to Pivot** button is clicked on the pivot document (in Unique*

Notes

Viewing Deduplication Results Continued…

Documents folder), only the pivot document will be moved to the pivot folder and the number in the parenthesis will indicate zero (as the functionality works currently)

Note: The document numbers in the Duplicates Tree are updated automatically after the move. Click the Refresh button to update the numbers in the Deduplication Details Screen.

11. Click on the Document ID to view and update the document management tabs

    Note: When a near duplicate or a unique document is changed in the following two ways, the counts are updated accordingly in the Duplicates Tree and the Deduplication Details Screen.

    - When a near duplicate / unique comment is changed to a different document type. And
    - When Comment on ID is changed on the near duplicate / unique comment.

12. Agency Administrators and Assigned Docket Managers can **re-run deduplication** from the **duplicates tree** by using the **Re-Run Deduplication** button.
13. Utilize the **Filter Duplicates by Keyword** option in the duplicates tree to narrow the list of documents.

Notes

Auto Categorization

Auto Categorization provides users the ability to run an automated categorization engine on an FR or Other Document that has received 20 or more comments. Auto Categorization clusters comments by common subject matter and targets topics of discussion for rule makers by highlighting leading public concerns.

Important Concepts for Auto Categorization

FDMS uses a leading text analytics software technology that determines the key content of a comment (what the comment is about) and ten categorizes similar comments into clusters.

- Auto Categorization evaluates both web form comment text and the text contained in the first attachment of the comment (if available).
- Comments are categorized into clusters by similar key concepts, and the clusters are then characterized by three system-generated keywords that best represent the content of the comments.
- It may take up to 24 hours for the Auto Categorization process to be complete and the results to be viewable.

Viewing Auto Categorization Results

The Auto Categorization tool can be accessed from the **Actions** dropdown on an **FR** or **Other Document.**

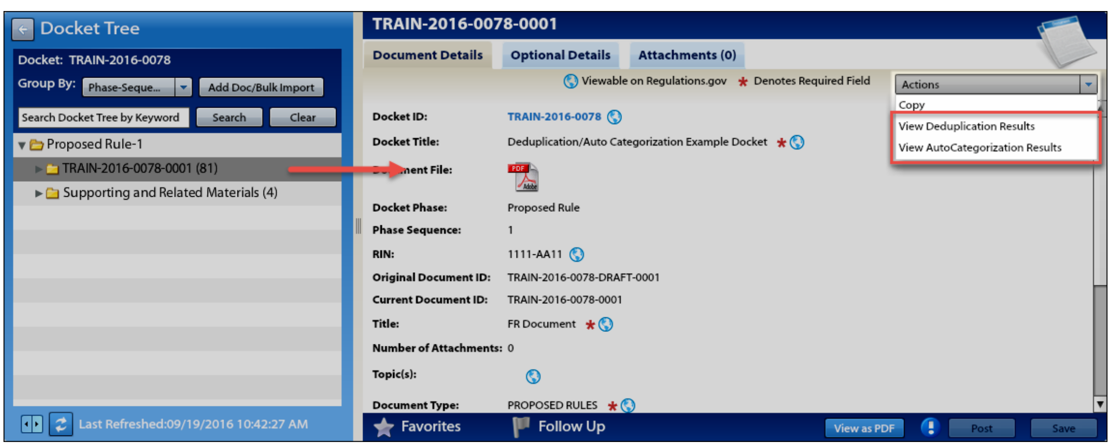


Figure 73: Actions Dropdown on an FR Document

Viewing Auto Categorization Results

1. Click the **Document ID** of the **FR Document** (not shown here).
2. From the **Document Details** screen, click the **Actions** dropdown and select **View Auto Categorization Results**.

Notes

Viewing Auto Categorization Results

Note: The Agency Administrators and Assigned Docket Managers are able to Run or Re-Run Auto-Categorization. Other FDMS roles that have permissions to access the Docket and Documents are able to view the Auto Categorization Results if available.

Note: The FR or Other Document must have at least 20 comments to run Auto Categorization.

Auto Categorization Results

The **Auto Categorization Results** are displayed in a split screen. On the left is the **Auto Categorization Tree**, and the right is the content view. Before a document is selected from the tree, the right side shows the **Auto Categorization Details** and a visual display of the breakdown of the categorization in the form of a pie chart.

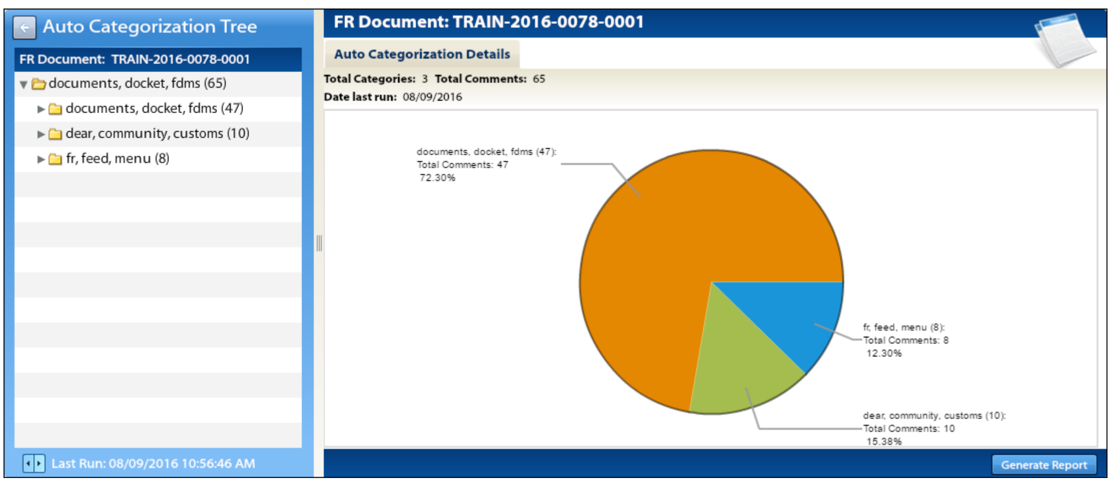


Figure 74: Auto Categorization Details

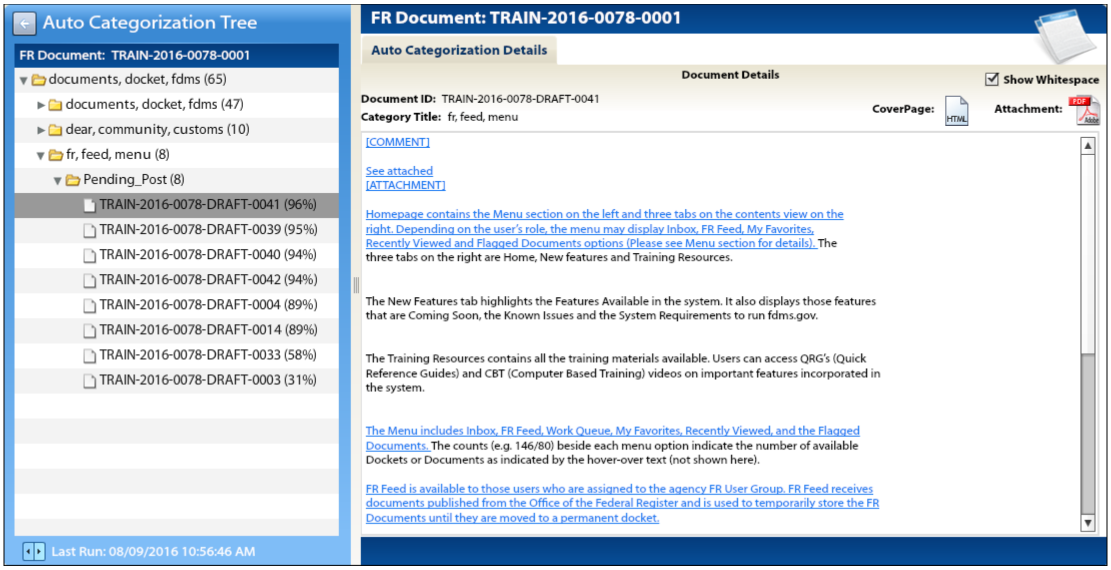


Figure 75: Auto Categorization Tree and Details

Viewing Auto Categorization Results

1. The **Auto Categorization Details** displays the total amount of categories and the percentage of the total comments that are included in each category.
2. In the **Auto Categorization Tree**, the various concept clusters are displayed according to auto-generated key terms.
3. The percentage denoted after the Document ID indicates how strongly the comment matches that category.

   Note: Each comment will be categorized into only one concept cluster.

4. Click the **Document ID** of a comment to view the content details and Auto Categorization analysis on the right as shown in the figure above.
   - The Blue text in the comment indicates five key sentences that the system has determined best represent the ideas indicated by the comment category folder key terms.

Notes

Searching

FDMS enables users to search for Dockets and Documents quickly and efficiently with enhanced searching tools. For full system searches users can utilize both the **Quick Search** and **Advanced Search** options. Users are also able to search and/or filter their Dockets and Documents by utilizing the smart search bar located in multiple locations such as the **Menu** options, **Search Results, Deduplication Results (Duplicates Tree), Folder Contents (Document List), Docket Tree** etc.

Quick Search

Users can perform a **Quick Search** by using the **search bar** located at the top right corner of the screen. By default, the Quick Search will be run on Dockets. Additional search options are available by clicking the dropdown icon to the left of the search box (shown below).

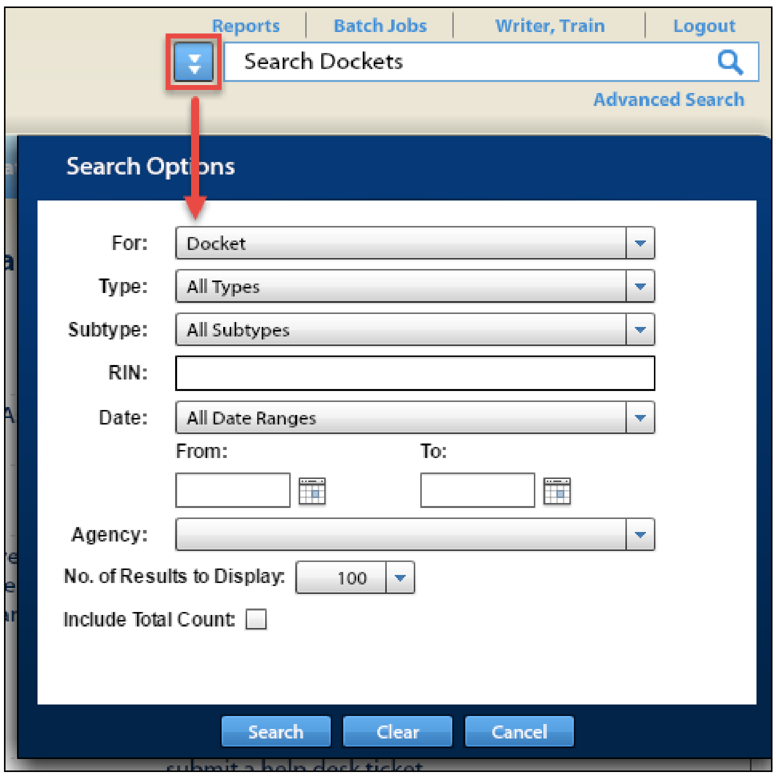


Figure 76: Quick Search Dropdown Options

Performing a Quick Search

1. Enter your **search term** in the **search bar:**
   - A **search term** containing a dash will search **Docket/Document ID, Legacy ID,** and/or **Federal Register Number** depending on the type of search item (i.e. Docket or Document).
   - A **date search** term will need to be in the format **mm/dd/yyyy**.

Notes

Performing a Quick Search

- ❖ Quick Search can be used to perform a **full text search**. In order to find an exact search term, it must be enclosed within **double quotations**. The **full text search** is enabled by default for documents and will search all metadata fields including the first attachment.

2. Click the dropdown to use **search options** in conjunction with the **search term**.

Note: Search options differ between Dockets and Documents.

3. Once the **search criteria** is entered, click the **search** button to perform the quick search.

Note: A user will need to have access permission if searching for an unposted docket/document from an external agency.

Docket and Document List Search

The **search bar** at the top of the **Docket** or **Document List** located within the **Menu** options and **Search Results** is used to quickly narrow the results. Additional **Search Options** are available by clicking the dropdown icon located at the top right corner above the **search bar** (shown below).

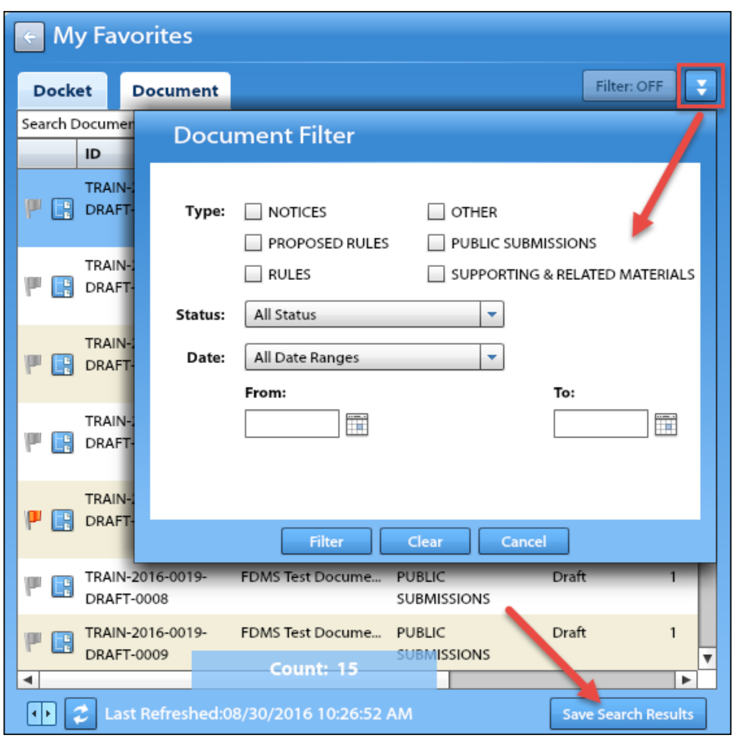


Figure 77: Document Filter on the Document List

Notes

Performing a Search from the Docket and Document List

1. Enter your **search term** in the **search bar.**

   Note: Users are able to enter a full or partial ID, Title, Type, or Status in the search bar.

2. Click the dropdown located at the top right corner above the search bar to use **search options** in conjunction with the **search term**.

   Note: Search options differ between Dockets and Documents.

3. Once the **search criteria** is entered, click the **Filter** button to filter the contents from the list or click the **Clear** button to clear the filters.

   Note: The system will save a user's filter between sessions and the filter can be toggled on and off in order to view all results or the filtered subset.

4. Click the **Save Search Results** button to save the contents displaying on the list. See the **Save Search Results Export** section for further details.

Docket Tree Search

A search can also be performed by entering a **full or partial ID** in the **search bar** located within the **Docket Tree**. A search bar is also available in the **Duplicates Tree**.

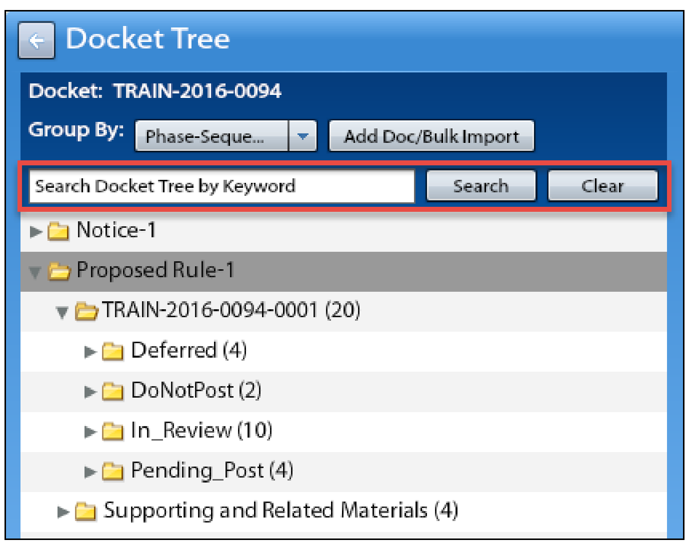


Figure 78: Docket Tree Search Bar

Notes

Performing a Docket Tree Search

1. The **Group By** dropdown options are used to sort documents within the docket.

   Note: Documents can be grouped by Phase-Sequence, Status, Date Received, and Document Type.

2. Enter a **full or partial Document ID**, or a **keyword** in the **Search Docket Tree by Keyword** search bar and select **Search** to display the results in the **Docket Tree**.

Document Folder Search

The Documents within a folder are displayed in the content view when a folder (**Phase folder, Document Type folder, Status folder**) is selected in the **Docket Tree**.

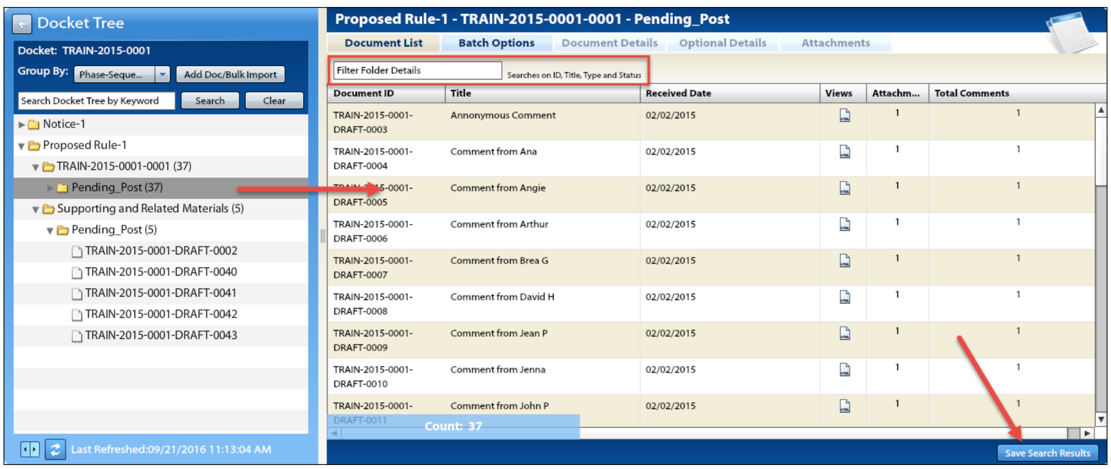


Figure 79: Document Folder Search

Performing a Document Folder Search

1. Click a **Document Folder** from the **Docket Tree**. The **Document List** is displayed on the right.

2. Enter a **full or partial document ID, Title, Type,** or **Status** in the **Filter Folder Details** search bar to automatically sort and display the results in the **Document List**.

   Note: The search results will auto update as the search term (ID, Title, Type, or Status) is entered.

3. Click the **Save Search Results** button to save the contents displaying on the list. See the **Save Search Results Export** section for further details.

Notes

Advanced Search

The **Advanced Search** in FDMS can be used to perform detailed searches on Dockets and Documents. It allows users to utilize different search criteria in order to refine and obtain specific search results.

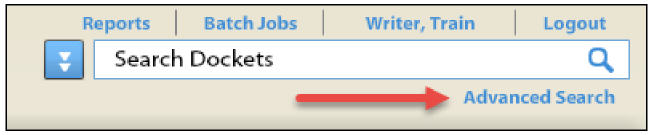


Figure 80: Advanced Search Link

Performing an Advanced Search

1. Click the **Advanced Search** link located beneath the **Quick Search** bar on the top right corner of the screen.

   Note: The Advanced Search screen appears in the content view on the right.

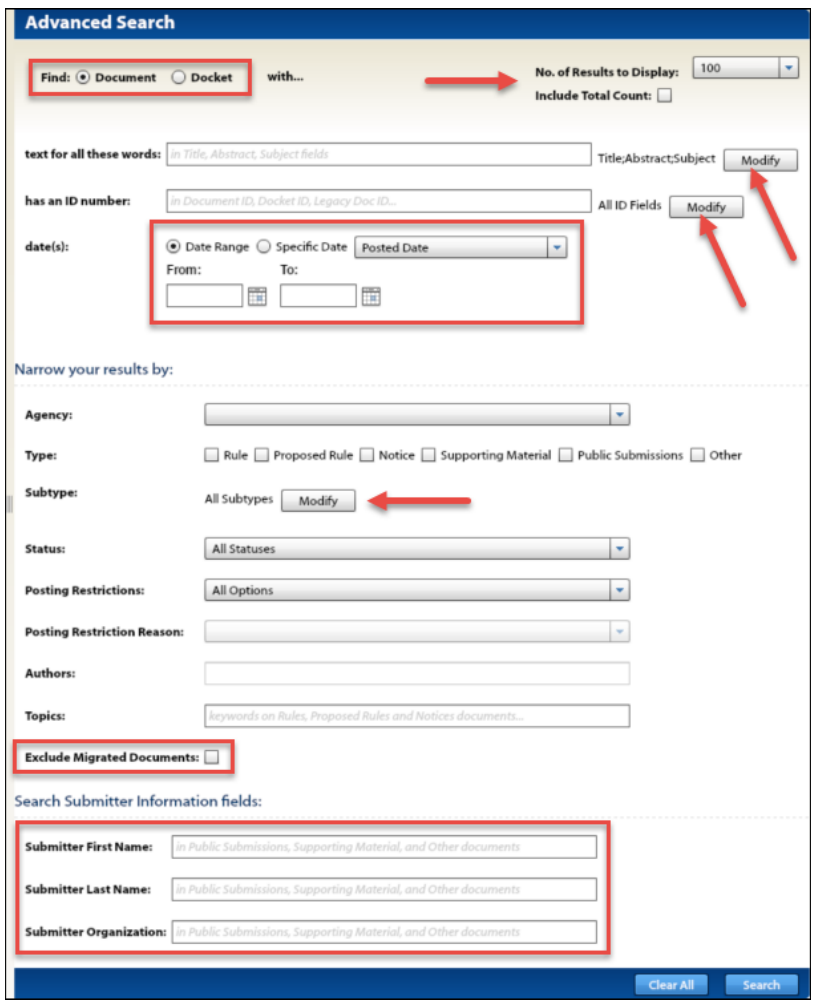


Figure 81: The Advanced Search Screen

Notes

Performing an Advanced Search Continued…

2. Select the appropriate radio button to search for either **Dockets** or **Documents**.
3. From the **No. of Results** dropdown, select the desired number of results. Users can yield up to 10,000 results at a time.

   Note: The number of results requested will impact the time it will take for the search to complete.

   *Note: Selecting the **Include Total Count** option will display the total number of possible results in the system so that users will know if that number exceeds the specified number of results requested.*
4. Click the **modify** button to the right of the **text for all these words** field to narrow the metadata fields that will be searched and enter in the search terms.
   - From the dropdown select the applicable fields to be searched.
   - The selected fields can be removed by individually selecting the field in the box and clicking the **Remove** button.
   - All the selected fields in the box can be removed at once by clicking on the **Remove All** button.
5. Type a **full or partial ID** in the search box. Click the **Modify** button to the right of the **has an ID number** field to select the type of ID fields that will be searched. The ID fields to be searched can be modified from the **Modify ID Type(s)** pop-up window (not shown here).

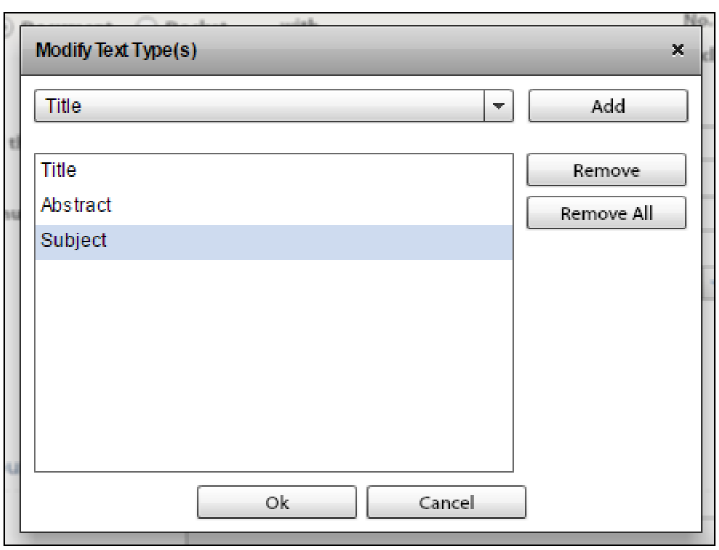


Figure 82: Modify Text Type(s) Pop-up Window

Notes

Performing an Advanced Search Continued…

6. Select the appropriate radio button (**Date Range** or **Specific Date**) next to the **date(s)** field and from the dropdown, choose the desired date option.
7. Under the **Narrow your results by** section, the **Agency** field defaults to the user's agency. Select the desired agency from the **Agency** dropdown to search for other agencies' dockets and documents.

   Note: The publicly viewable (posted) Dockets and Documents from other agencies are searchable. A user will need read or write permissions in order to search for unposted Dockets and Documents from other agencies.
8. All Document **Types** are searched by default, but specific type(s) can be searched by checking one or more checkboxes.
9. Click the **Modify** button next to the **Subtype** field to select a subtype(s).

   Note: Document Subtypes vary by selected Document Type(s).
10. Narrow your search by selecting a **Status** from the dropdown.
11. Select the desired **Posting Restrictions** from the dropdown. The **Posting Restriction Reason** becomes an active field when a restriction is selected; choose the applicable reason.
12. Users can utilize **Authors** and **Topics** fields to narrow their search results.

    *Note: Users have the ability to **Exclude Migrated Documents** from the search results, i.e. documents migrated from a legacy system.*
13. Under the **Search Submitter Information Fields** sub-section, **Submitter First Name, Submitter Last Name,** and **Submitter Organization** fields can be used to further narrow the search for **Public Submissions, Supporting and Related Materials,** and **Other** document types.
14. Once the desired fields are selected, click the **Search** button to conduct the **Advanced Search**. The results are displayed in the **Docket** or **Document List**.

    *Note: Click the **Clear All** button to the left of the Search button to clear the fields and restore default search settings.*

Search Results

The **Search Results** are displayed in the Docket or Document List. The **Details** of the first item (Docket or Document) are displayed in the content view.

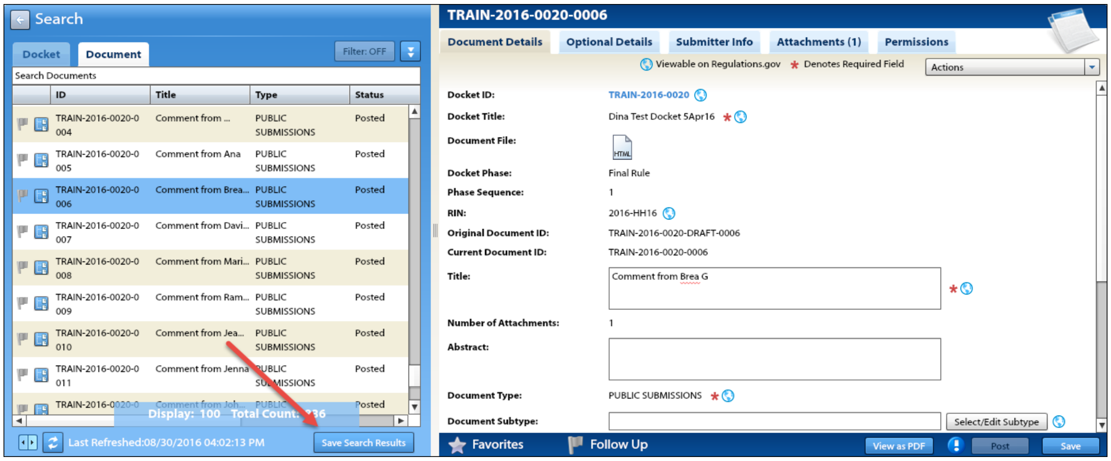
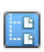


Figure 83: Search Results Screen

Search Results

1. Users can search within the **Search Results** by using a **full or partial ID, Title, Type,** or **Status** in the smart search bar. The list will auto-update as search criteria is entered.
2. The **Filter** dropdown provides additional options to narrow the list.
3. Click the  icon to access the **Docket Tree** to view associated documents.
4. The **Count** reflects the total number of dockets/documents in the list. The count will auto-update when either searching within the docket/document list or if the **Filter** is set to "**ON**".
5. Click the  icon to **Expand** or **Shrink** the column header/s displayed.
6. Click the  icon to **Refresh** the page to display the most recent information.
7. Click the  icon to **Flag** a document to indicate a follow-up or additional review is needed. A flagged document can be **Unflagged** by clicking on the  icon. See the **Flagged Documents** section for more information.
8. Click the **Save Search Results** button to save the contents showing in the Docket List as a CSV file or have a **Full Export** emailed to you.

Notes

Notes

Save Search Results Export

The **Save Search Results Export** enables users to export (i.e. email) Docket and **Document** search results. Users have **Basic** and **Full Export** options when saving search results.

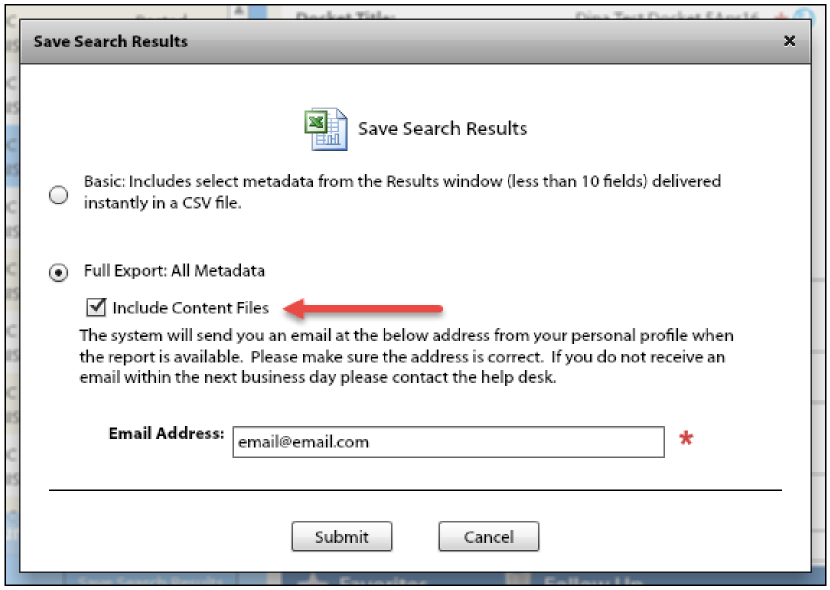


Figure 84: Save Search Results

Save Search Results Export

1. From the Search Results menu, click the **Save Search Results** button. The Save Search Results Window appears.
2. Users have two options to export the search results:
    - **Basic:** includes select metadata from the Results window (less than 10 fields) emailed instantly in a CSV file.
    - **Full Export:** includes all the docket / document metadata and users have an option to include the content files by checking the **Include Content Files** check box if exporting documents.
3. Enter the email address where the results need to be sent. By default, the results are sent to the email in the user's profile.

FDMS processes the **Search Results Full Export** request and returns an email with the extracted documents within 24 hours. The extracted documents are organized into a **File Package** and compressed into a **zip** file. The email contains a link to the **File Package**.

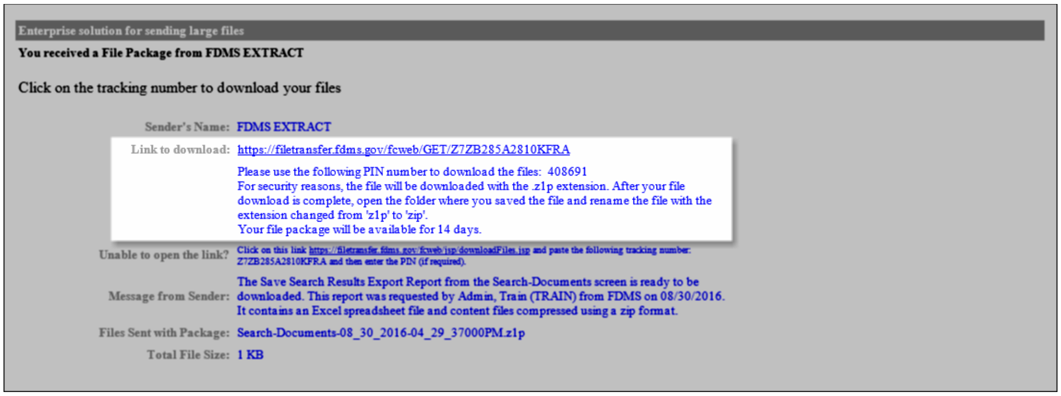


Figure 85: Receiving a File Package from FDMS Extract

Receiving and Extracting the Full Export

1. Open the email sent from **FDMS Extract** and subject line: "You have received a FileCatalyst Webmail package from FDMS EXTRACT".
2. Locate the **PIN** and write it down. This number will be required to access the file download.
3. Click the **Package Tracking #** to initiate the download process.
4. Enter the **PIN** from step two into the field on the **Please complete your download** screen, and click **Submit**.

Figure 86: Please Complete Your Download Screen

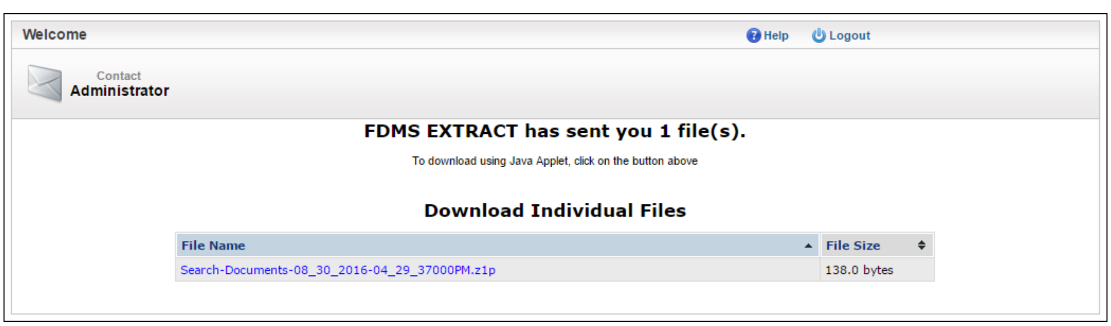


Figure 87: FDMS EXTRACT Download Screen

Notes

Receiving and Extracting the Bulk Documents Continued…

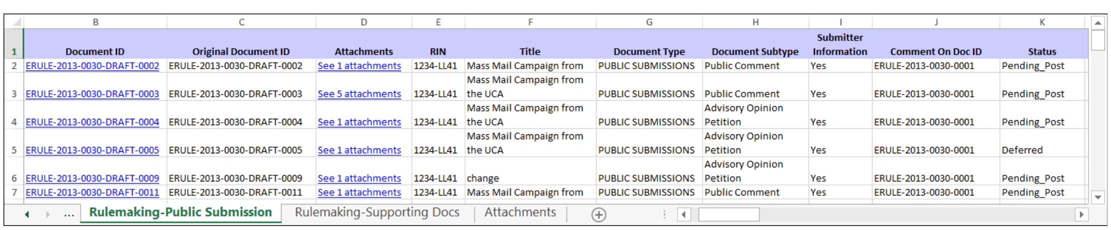
5. Click the file name to download the extracted package.
6. Change the package file extension from ".z1p" to ".zip" and save the file.

   Note: The file is downloaded with the extension ".z1p" for security purposes.

7. Extract/unzip the files from the ".zip" file. The file contains:
   - A folder – contains the individual files and attachments associated with the bulk extracted documents (if content files were included)
   - An Excel spreadsheet – contains metadata fields pertaining to the exported documents and links to those documents and attachments

   Note: The folder and spreadsheet must be housed in the same folder for document and attachment links to function properly.

8. Open the Excel spreadsheet.
   - Rulemaking and Non-Rulemaking Docket metadata information will be presented in separate tabs (for Docket Search Results)
   - Each extracted document's metadata is presented in columns
   - For Public Submission documents, the link in the Document ID column will open the cover page (HTML file). For FR Documents, Supporting and Related Materials, and Other Documents, the link will open the first document attachment.
   - The link in the attachments column routes users to the **Attachments** spreadsheet, where individual attachment **Titles** can be clicked to view the attachments in their native file format.



	B	C	D	E	F	G	H	I	J	K
1	Document ID	Original Document ID	Attachments	RIN	Title	Document Type	Document Subtype	Submitter Information	Comment On Doc ID	Status
2	ERULE-2013-0030-DRAFT-0002	ERULE-2013-0030-DRAFT-0002	See 1 attachments	1234-LL41	Mass Mail Campaign from	PUBLIC SUBMISSIONS	Public Comment	Yes	ERULE-2013-0030-0001	Pending_Post
3	ERULE-2013-0030-DRAFT-0003	ERULE-2013-0030-DRAFT-0003	See 5 attachments	1234-LL41	Mass Mail Campaign from the UCA	PUBLIC SUBMISSIONS	Public Comment	Yes	ERULE-2013-0030-0001	Pending_Post
4	ERULE-2013-0030-DRAFT-0004	ERULE-2013-0030-DRAFT-0004	See 1 attachments	1234-LL41	Mass Mail Campaign from the UCA	PUBLIC SUBMISSIONS	Advisory Opinion Petition	Yes	ERULE-2013-0030-0001	Pending_Post
5	ERULE-2013-0030-DRAFT-0005	ERULE-2013-0030-DRAFT-0005	See 1 attachments	1234-LL41	Mass Mail Campaign from the UCA	PUBLIC SUBMISSIONS	Advisory Opinion Petition	Yes	ERULE-2013-0030-0001	Deferred
6	ERULE-2013-0030-DRAFT-0009	ERULE-2013-0030-DRAFT-0009	See 1 attachments	1234-LL41	change	PUBLIC SUBMISSIONS	Advisory Opinion Petition	Yes	ERULE-2013-0030-0001	Pending_Post
7	ERULE-2013-0030-DRAFT-0011	ERULE-2013-0030-DRAFT-0011	See 1 attachments	1234-LL41	Mass Mail Campaign from	PUBLIC SUBMISSIONS	Public Comment	Yes	ERULE-2013-0030-0001	Pending_Post

Figure 88: Export Spreadsheet

Notes

Reports

The **Reports** module allows users to access **Standard** pre-defined reports and the **Summary** module. The module can be accessed via the link in the top tool bar.

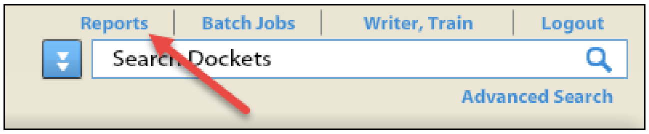


Figure 89: Reports Link

Standard Reports

The Standard reports tab presents a number of pre-defined report options to users to query specific information in FDMS.

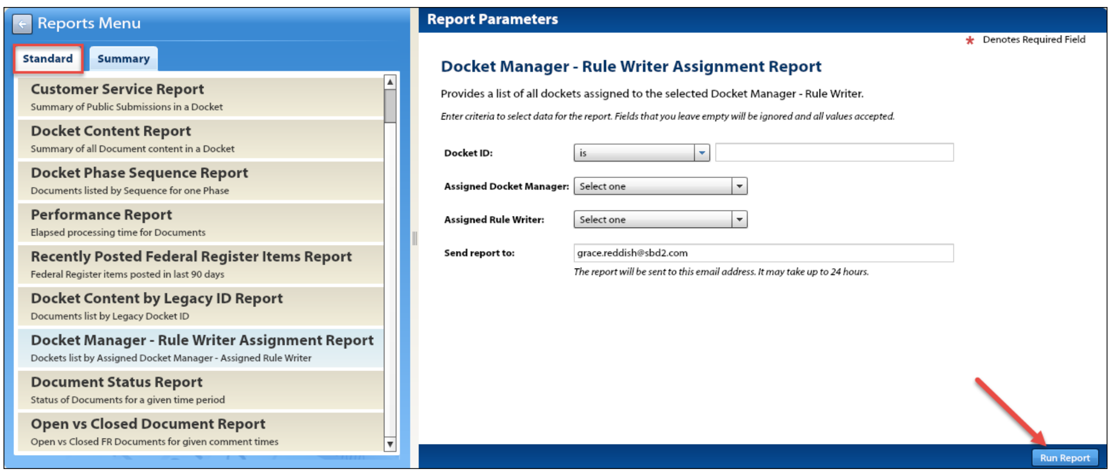


Figure 90: Standard Reports Menu

Standard Reports

1. Click the **Reports** link located on the top right of the Homepage.
2. The **Standard Reports Menu** is displayed on the left and the **Reports Parameters** are displayed on the right.
3. Select the desired report from the **Standard Reports Menu**.
4. Enter/select the applicable criteria for the selected report.
5. Click the **Run Report** button to send to the email address provided.

Note: The report could be received in 15 minutes, or could take up to 24 hours depending on the volume of requests at that time.

Notes

Report Terms and Definitions

- **Current Docket Phase Report:** Provides the real-time status of the agency's Dockets showing the Documents in each phase and sequence.
- **Customer Service Report:** Provides the ability to view Docket activity. The report provides a summary of the number of Public Submissions from email, paper, web, and API sources by Docket for a specified period of time.
- **Docket Content Report:** Provides the ability to view all of the Documents and their attachments associated with a particular Docket, regardless of the phase-sequence.
- **Docket Phase-Sequence Report:** Provides the ability to view all Documents by sequence for a specific phase in a Docket.
- **Performance Report:** Provides the elapsed processing time between the date a Document was received in FDMS and the date that Document was posted to the public.
- **Recently Posted Federal Register Items Report:** A list of Federal Register items posted in the last 90 days for one or all agencies.
- **Docket Content by Legacy ID Report:** Provides a view of Documents with a Legacy ID by searching for the FDMS Docket ID or the Legacy Docket ID used prior to FDMS.
- **Docket Manager – Rule Writer Assignment Report:** Provides a list of all dockets assigned to the selected Docket Manager and/or Rule Writer.
- **Document Status Report:** Provides the ability to view by Status of Documents for a given period of time.
- **Open vs Closed Document Report:** Provides the ability to select a date and see FR Documents open or opened for comment during that time and FR Documents that closed for comment during that time.

Notes

Summary Module

The **Summary** Module enables users to select from four user specific options and three agency wide options. Each Summary option except the last two (i.e. Agency Most Active Documents and Agency Most Active Dockets) presents the summary statistics sorted by Document Status and Date Received.

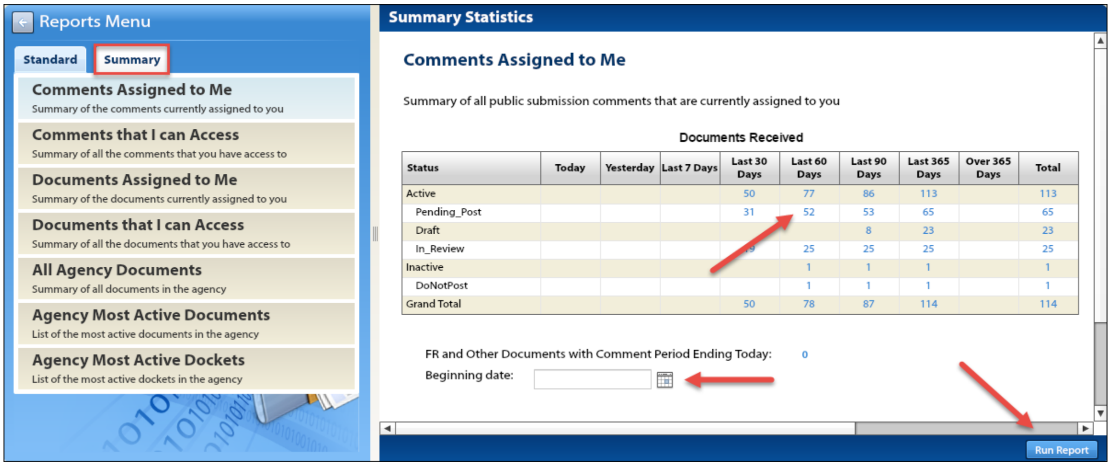


Figure 91: Summary Menu Options and Summary Statistics

Summary Module

1. From the **Reports Menu** click the **Summary** tab.
2. Select the desired option from the **Summary Menu**.
3. The **Summary Statistics** is displayed on the right in table format.
4. Click one of the hyperlinked numbers in the table to view a list of relevant documents in a Search Results window (not shown here).
5. Select a **Beginning Date** to only view the number of documents in each of the Document statuses since the selected date.

*Note: For Agency wide **Most Active Dockets and Documents** options, users will need to select the timeframe they want included in the output.*

Note: When a Document ID is clicked from the Summary report(s), users are able to view and update metadata fields in the Document management tabs in the contents view.

Note: When a Docket ID is clicked from the Summary reports, the screen will refresh to display the Docket tree on the left and the Docket management tabs on the right.

Notes

FDMS Resource Center

The FDMS Resource Center provides users with information on upcoming trainings, special features of the system including Records functionality, pending release activities, and FDMS best practices. To suggest enhancements to the system, users can download an FDMS CCB request form and submit it to the CCB chairperson.

Figure 92: General Information Navigation Bar

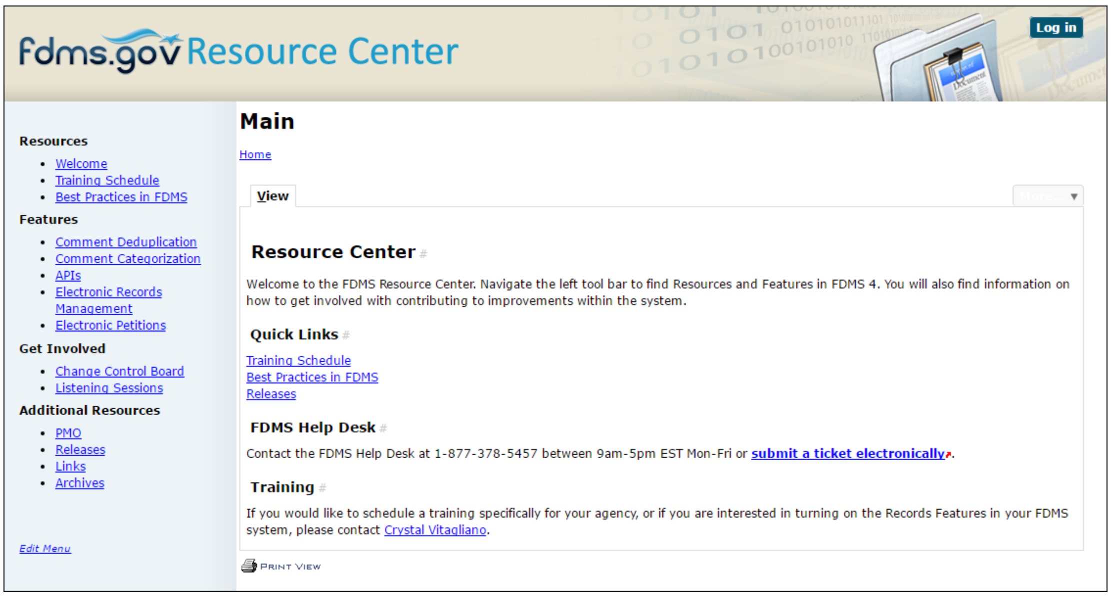


Figure 93: Resource Center